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National Institute of Justice / *Program Announcement*

Research Program Plan

Fiscal Year 1989

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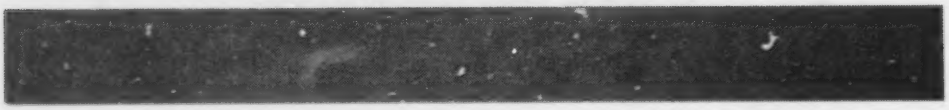
Research Program Plan: Fiscal Year 1989

Research Program Plan
Fiscal Year 1989



November 1988

NCJ 113 180

National Institute of Justice

James K. Stewart

Director

The Assistant Attorney General, Office of Justice Programs coordinates the activities of the following program Offices and Bureaus: National Institute of Justice, Bureau of Justice Statistics, Bureau of Justice Assistance, Office of Juvenile Justice and Delinquency Prevention, and Office for Victims of Crime.

Foreword

Two decades ago, there was little or no systematic, objective information available on crime and criminal justice policies. Over the years, the National Institute of Justice has sponsored research that spurred an evolution of understanding of crime and its impact. Today, we recognize that the costs of crime are far greater, its effects on victims more traumatic, and its corrosion more widely spread throughout our society than we realized two decades ago. Insights provided by research have set in motion a rethinking of how we view crime and criminal offenders.

The accretion of such knowledge laid the groundwork for a new direction in research that has in the past 5 years accelerated our momentum. Moving beyond the limits of general surveys and descriptive studies, the National Institute refocused its efforts—away from studying institutions and toward research aimed at informing policy and practice.

The value of research can be seen in the emerging policies that are making a difference in our ability to safeguard the public and concentrate scarce criminal justice resources where they will do the most good. Today, we have the potential to:

- cut the demand for drugs among criminals through court-supervised drug testing.
- reduce the chances of repeat violence against victims of spouse assault, and at the same time lower the murder rate.
- reduce the number of victims through new strategies for deploying police and strengthening their link to their communities.
- cut drug-related robberies and burglaries through police strategies to stop street-level traffickers.
- offer judges intermediate punishments that avoid the "prison or nothing" choice through use of such alternatives as proportionate fines, house arrest, electronic monitoring, and restitution.
- marshal resources beyond the criminal justice system—in the private sector and the community—to bolster safety and solve specific crime problems.
- measure the effects of various policies with far greater precision and understanding of the costs and benefits of policy choices.
- develop and apply new tools of measurement to address our field of science and to collect far more accurate and realistic data.
- estimate the cost of not imprisoning high-rate offenders.

Research in the seventies confirmed the existence of the career criminal, for example, and documented his specific impact. Following up on this important insight, the Institute supported surveys to gauge the impact of the high-rate offender on crime and on criminal justice operations. From this basic knowledge came the idea of focusing criminal justice resources selectively on career criminals and trying to differentiate more clearly between official records and actual crime

rates. Today, the concept of the career criminal and the high risk offender is firmly entrenched in criminology and criminal justice—a dramatic rethinking of policy and practice. Now research is examining ways to identify these offenders more accurately, moving toward the recommendation of one recent study that concluded that public safety would clearly benefit from incarcerating a larger proportion of high-risk probationers and prisoners, and for longer periods of time.

Research also corroborated the link between drug abuse and crime. We have known for several years that drugs accelerate an individual's crime rate from four to six times what it is when the offender is relatively drug free. Now, we no longer need to watch helplessly as drug-spawned crime vitiates entire neighborhoods. We can do something. Policies, informed by empirical research, can make an enormous difference without great cost or violation of individual rights.

Recent experiments in Washington, D.C., and New York revealed that arrestees using drugs were more likely to be rearrested than those not on drugs. Mandatory, court-supervised drug testing represents a scientific, objective test for distinguishing these high-risk defendants from low-risk defendants. With these data, judges are in a position to decide empirically the appropriate conditions for the pretrial period, including periodic testing.

In the area of law enforcement, we have demonstrated various options for deploying forces with greater effectiveness and efficiency. Analysis of police calls in one major city, for example, revealed that in a 1-year period over 50 percent of the repeat calls were from less than 3 percent of the addresses. By getting at the source of these calls, police can intervene to reduce this enormous drain on their resources. Research has demonstrated that proactive problem-oriented policing can be effective in solving problems that would otherwise lead to crime and disorder. The solutions are not restricted to police resources but have a wider application. The problem-solving approach reduced crime in targeted areas through solutions that drew upon a wide variety of public and private resources in Newport News, Virginia, the real-world laboratory for the test.

These and other contributions are the product of the increasingly fruitful collaboration between practitioner and researcher. It has been gratifying to see the marked increase in the use of research by practitioners and policymakers and in the working relationships between researchers and practitioners that only rarely existed a decade or so ago.

The use of and involvement in research by policymakers, I believe, emanates from several important developments.

First, crime and its consequences are far more important than many realize. The costs of crime and criminal justice to our society have become so great that we can no longer afford *not* to measure effectiveness and assess consequences. Fiscal limitations force tradeoffs that demand a better understanding of the benefits and

costs of various approaches. This crisis has created an opportunity for policy-oriented research to help agencies work smarter, not harder. Practitioners have recognized the need for solid, objective information, and researchers have employed their skills to respond to that need.

Second, we have moved far in creating a favorable climate for collaboration, building understanding and respect between those who design and conduct research and those who set and carry out crime control policies. The National Institute of Justice maintains a continuing dialog with criminal justice practitioners and policymakers to ensure that research is attuned to the challenges they face and that the new information we gain is disseminated in the most accessible and useful way.

Third, we have reorganized the way the National Institute allocates its resources. In the past, research funds were funneled primarily to the three sectors of the criminal justice field: police, courts, and corrections. Each of these institutions had its own set of problems, and these expenditures undoubtedly improved their functioning. But this approach also tended to compartmentalize our thinking and information and to fragment our justice system.

We have made a fundamental change, as evidenced in this *Program Plan*, to address the overarching problems that face not only the separate institutions but criminal justice as a whole: career criminals, drugs, victims, prediction and classification, to name just a few. This problem-oriented approach will help avoid the fragmented response of the past and assess how the policies of each criminal justice institution can contribute its resources to reducing crime—our ultimate objective.

Fourth, we have made striking advances in the methods of criminal justice research. In the past, we lacked the measurement tools to disclose with precision the benefits of changes in policy. Accordingly, much research tended to report no difference or no measurable effectiveness. Now, through experiments and more sophisticated methodologies we can heighten the reliability of research findings and the strength of our policy recommendations.

In the 1960's, field experiments in criminal justice were rare. They increased somewhat in the 1970's, but it was not until the 1980's that every area of criminal justice policymaking saw scores of experiments completed and more in progress.

This year's *Program Plan* reflects the National Institute's continuing interest in experimentation as a uniquely valuable tool. More than any other type of research, the experiment holds the promise of delivering the hard knowledge we need to tackle fundamental issues and to generate needed change.

Ultimately, we need experimentation because it simply is too costly to adopt new policies and new technologies without rigorous testing. Nor can we

afford to continue to follow traditional approaches without analysis and testing to see if they are working as we want them to. The unintended consequences of appealing but poorly researched policies can be disastrous.

We are not yet at the level of the medical profession where new treatments are always tested before they are introduced for wide-scale use, but substantial progress has been made in harnessing the power of the experiment for criminal justice policymaking. Together, we have shown the credibility of research in helping to understand many dimensions of criminal justice policy.

One of the most dramatic examples of the value of experimentation and the growing influence of research is the Minneapolis Domestic Violence Experiment. By changing police policy, future violence was reduced by as much as 50 percent. Three years ago, only 10 percent of large urban police departments made arrest the official response to spouse assault. Today, nearly half the departments have instituted this policy, a dramatic shift that was spurred largely through research.

Important work is also proceeding through prospective longitudinal studies of human development. These longer term efforts offer the advantage of building a comprehensive knowledge base that will help us understand not only why individuals commit crime but why others in similar circumstances do not, and what factors intervene to cause individuals to drop out of careers in crime. From this effort will come insights into more successful ways to enforce good conduct.

Finally, one of the chief aims of the National Institute has been the development of a corps of talented research scientists to gather reliable data and solve problems. The sheer brain power now mobilized for research against crime is immensely encouraging, and the National Institute of Justice will continue to nurture this vital source of our progress.

The National Institute of Justice has guided a modest investment in research that has produced lucrative returns. New strategies to prevent and deter crime and streamline criminal justice operations have paid for themselves in dollars and cents—and, most important, in lives saved and communities rescued from the depredations of crime.

The record of accomplishment shows that the field of criminal justice research and development has advanced toward the critical mass capable of sustaining and expanding progress.

In facing other threats to our national well being, we have relied upon research to guide our policies and practices. Medical practice today, for example, is reaping the benefits of a continuing and expanding Federal investment in health care re-

search. As medical researchers contributed the great advances we have seen in the treatment of disease over the past 50 years, the value of a sustained commitment to research was manifest.

Investment in justice research to date has been limited. In fact, the per capita investment in public safety research is 8 cents, compared to the $36 allocated for health care research. This is not surprising given the still early stage of development of justice research as a recognized field of scientific endeavor.

As we begin the third decade of justice research, however, I believe we have demonstrated our ability to invest the funds entrusted to us wisely and effectively. As we move toward greater reliance on experiments, we recognize the need to mobilize resources not only from the Federal Government, but from the private sector, national organizations and private foundations to support this more costly type of research. But if we are to realize the added dimension of usefulness experiments can give us, we need a sustained and expanded commitment of resources. Then, criminal justice research can cross the threshold to major advances that will enable us to fashion new and more effective crime control policies.

We are fortunate to have such momentum as we look toward the 21st century and the enormous challenges we face in combating new forms of crime spawned by new technology. In presenting this *Program Plan*, we look forward once again to your creative ideas and well-thought-out proposals. At a time of heightened public concern, resource constraints and difficult policy choices, we need the continued involvement of knowledgeable practitioners and skillful, analytical researchers to produce the best information so individuals, our economy, and our society as a whole can prosper.

James K. Stewart
Director

Contents and Application Deadlines

Foreword iii

Application procedures and requirements of award recipients 1

Research Program Plan Announcements:

Office of Crime Prevention and Criminal Justice Research 9

Apprehension, prosecution and adjudication of criminal offenders 11

Cycle 1: February 3, 1989
Cycle 2: June 2, 1989

Public safety and security 18

Cycle 1: January 27, 1989
Cycle 2: May 26, 1989

Punishment and control of offenders 26

Cycle 1: January 13, 1989
Cycle 2: May 12, 1989

Victims of crime 31

Cycle 1: January 20, 1989
Cycle 2: May 19, 1989

White collar and organized crime 36

Cycle 1: January 6, 1989
Cycle 2: May 5, 1989

Center for Crime Control Research 45

Criminal careers and the control of crime 47

Single Cycle: February 24, 1989

Drugs, alcohol, and crime 52

Cycle 1: January 25, 1989
Cycle 2: May 3, 1989

Forensic science and criminal justice technology 59

Single cycle: March 15, 1989

Offender classification and prediction of criminal behavior 63

Cycle 1: January 18, 1989
Cycle 2: April 19, 1989

Violent criminal behavior 68

Cycle 1: February 1, 1989
Cycle 2: April 25, 1989

Fellowship programs 73

Visiting Fellowships 73

Single cycle: February 17, 1989

Graduate Research Fellowships 76

Single cycle: February 17, 1989

Summer Research Fellowships 80

Single cycle: February 3, 1989

Other programs 83

Crime and Justice research volumes
Criminal Justice Interdiction of Retail Drug Trafficking
Data Resources Program
Human Development and Criminal Behavior Program
National Assessment Program
National Criminal Justice Reference Service
Professional Conference Series
Research Applications Program
Technical Assistance Program
Technology Assessment Program

Organization of the National Institute of Justice 90

Staff of the National Institute of Justice 91

Peer reviewers 95

Grant application forms 105

Applicants should be aware that the announcements of available funding contained in this plan are contingent upon the appropriation of funds by the Congress. Further, the amount of appropriated funds ultimately available will be determined after any sequestration under Public Law 99–177, the "Balanced Budget and Emergency Deficit Control Act of 1985."

Application procedures and requirements of award recipients

Program announcements

Proposals submitted to the National Institute of Justice should respond directly to one of the 13 Research Announcements described on pages 9 to 82.[1] Prior to expending the considerable effort necessary to develop a competitive proposal, prospective applicants are strongly encouraged to call the program managers listed in these announcements to discuss the appropriateness of possible research topics under their program area.

Projects that contemplate the provision of services in addition to research are eligible for NIJ support but only for the resources necessary to conduct the research tasks outlined in the proposal. Ideally, projects should have a national impact or have potential relevance to a number of jurisdictions. Projects that address the unique concerns of single jurisdictions are likely to receive little consideration.

Products

Each project is expected to generate tangible research products. These may include articles in refereed scientific journals, policy-oriented journals, or in professional criminal justice publications. Machine-readable data used in NIJ research are an important and increasingly valued research product. Other potential products include 2,500-word summaries of research findings published by NIJ, conference presentations and papers, implementation manuals, videotape training materials, and formal press releases. Most projects will be limited in the type and number of products anticipated. Successful proposals will clearly identify the nature of the grant products that can reasonably be expected should they be funded.

How to apply

The following procedures are required for all submissions requesting research sponsorship (unless otherwise specified in a particular program announcement).

Applicants should submit ten (10) copies of their complete proposals by the deadline established for their particular research program. Submissions must include:

Standard Form 424

A copy of this form (with instructions) is attached at the back of this announcement. Please follow instructions carefully and include all parts and pages.[2]

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1. The Institute may publish additional solicitations during the year. These will be announced in the Federal Register and disseminated by the National Criminal Justice Reference Service (NCJRS).

2. Please note the following Catalog of Federal Domestic Assistance (CFDA) numbers required by question 6a on Standard Form 424. For all but Visiting Fellows and Graduate Research Fellows applications, the CFDA number is 16.560. For Visiting Fellows applications, the CFDA number is 16.561. For Graduate Research Fellows applications, the CFDA number is 16.562.

Budget narrative

Budget narratives should list all planned expenditures and detail the salaries, materials, and costs assumptions used to estimate project costs. Narratives and cost estimates should be presented under the following standard budget categories: personnel, fringe benefits, travel, equipment, supplies, contracts, other, and indirect costs. The total amount requested must include the full amount of NIJ funding for this project.

All proposals should include in their travel budgets $1,000.00 for each year of the project to pay for the costs of attending a 2-day Program Review Conference. The budget narrative should state that this is a "standard NIJ estimate to cover the expense of travel to the annual Program Review Conference."

One-page abstract

The abstract of the full proposal should highlight the project's purposes, methods, activities, and when known, the location(s) of field research. Abstracts should not exceed one page.

Program narrative

A program narrative is the technical portion of the proposal. It should consist of:

- A clear, concise statement of the issues surrounding the problem area and of the research hypotheses or questions to be explored. A discussion of the relationship of the proposed work to the existing literature is expected.

- A statement of the project's anticipated contribution to criminal justice policy and practice. It is important that applicants briefly cite those particular issues and concerns of present-day criminal justice policy that stimulate the proposed line of inquiry and suggest what their own investigation would contribute to the knowledge base for making an informed choice among policy options.

- A detailed statement of the proposed research design and analytical methodologies. Delineate carefully and completely the proposed data sources, data collection strategies, variables to be examined, and procedures of analysis to be employed.

- A description of the expected research products (reports, journal articles, data sets, etc.).

- The organization and management plan to conduct the study. Include a list of major milestones of events, activities, products, and a timetable for completion, including the time commitments of key staff to individual project tasks. All grant activities, including writing the final report, should generally be completed within 24 months.

- The author(s) of the proposal should be clearly identified.

Copies of vitae

Vitae for the professional staff should summarize education, research experience, and bibliographic information related to the proposed work.

Human subjects protection

Research with human subjects plays an vital part in expanding our knowledge about how to combat criminal behavior. It is essential, however, that research be performed without needless risk of distress and with the willing and informed cooperation of research subjects.

Research or statistical information identifiable to a participant in NIJ sponsored research is protected by statute from being used in legal proceedings.

> [S]uch information and copies thereof shall be immune from legal process, and shall not, without the consent of the person furnishing such information, be admitted as evidence or used for any purpose in any action, suit, or other judicial, legislative, or administrative proceedings.
> [42 *United States Code* 3789g]

In addition, the Institute has adopted the U.S. Department of Health and Human Services *Model Policy on Human Research Subjects*. This policy requires that each institution engaged in NIJ research provide written assurances that it will comply with these regulations as codified at 45 *Code of Federal Regulations* 46. Pursuant to that policy, each research project falling within the guidelines established by the Department of Health and Human Services must be approved by the recipient's Institutional Review Board (IRB) prior to the initiation of the project. Approval by the IRB need not precede the submission of a proposal to NIJ but it must be given by the IRB and sent to NIJ prior to the beginning of any research activity.

Coordination

Applicants are expected to identify all other Federal, local, or private sources of support, including the other Institute programs, to which this or a closely related proposal has been or will be submitted. This information permits NIJ to consider the possibility of joint funding and limits the possibility of inadvertent duplicate funding. Concurrent submission to other agencies or other appropriate NIJ programs is not discouraged as long as the proposal is directly responsive to each agency or program area where it is submitted. Each NIJ program's peer review process is independent and multiple submissions will *not* jeopardize the likelihood of an award.

Deadlines

Proposals *must* be received by the dates and times specified in the individual program announcements.

Page limit

No page limits are enforced. However, authors of proposals are encouraged to keep program narratives to a reasonable length. Technical materials that support or supplement the description of the proposed research should be relegated to an appendix.

Length of awards

The Institute limits its awards to a maximum period of 2 years. Studies requiring more than 2 years to complete should be

designed in phases. Support for the first phase of a project, however, does not guarantee support for subsequent phases. Continuation proposals must undergo competitive peer review prior to second phase funding.

Legibility

Proposals that are miscollated, incomplete, or handwritten will be judged as submitted or, at NIJ's discretion, will be returned without a deadline extension. No additions to the original submission are allowed.

Program budgets

Except for the Visiting, Summer and Graduate Research Fellowship Programs, each program in this announcement is tentatively budgeted between $500,000 to $1,000,000 for fiscal year 1989. Typically, this amount supports from three to six awards per program. Actual funding allocations among programs are based on the quality of the proposals received. Average award amounts and total program budgets for the Visiting, Summer, and Graduate Research Fellowships are considerably lower and are described in the specific program announcements.

The NIJ review process

The Institute makes almost all of its research awards on the basis of national competitions. The competitions may culminate in a single award for a defined research problem or in multiple awards in areas of continuing interest. Because many research programs announce a wide scope of research or multiple areas of interest, a variety of research projects or approaches to a problem area are typically funded.

The Institute awards grants to, or enters into cooperative agreements with, educational institutions, nonprofit organizations, public agencies, individuals, and profitmaking organizations that are willing to waive their fees. National Institute of Justice programs support a wide variety of principal investigators and institutions. Excluding the Graduate Research Fellowship Program, 295 separate awards were made under NIJ competitive research programs between 1982 and 1986. One hundred and sixty one different institutions received awards and 220 separate individuals served as principal investigators. Educational institutions received nearly half (144) of these awards, private nonprofit institutions received 101, operational agencies 31, and profitmaking institutions and individuals were awarded 19 grants.

NIJ expects that its competitive research programs will continue to support a wide variety of researchers and research institutions. Although there is some concentration of research awards in larger universities and in nonprofit organizations, the Institute does not believe that good ideas or quality research are limited to these institutions.

Peer review

After all applications for a competition have been received, the Institute selects

three to five persons from the research and practitioner communities to serve as the review panel for that program. These experts are chosen for their research experience and operational expertise, as well as for their knowledge in the substantive areas covered by the competition. The individuals who served on NIJ peer review panels in the past 3 years are listed on pages 95 to 104.

The panel members read each proposal received and convene in Washington, D.C., to assess the technical merits and the policy relevance of the research proposed. Their assessment of each submission is forwarded to the Director of the Institute.

The review period normally takes 6 to 10 weeks, depending on the number of applications received. Each applicant receives written comments from the peer review panel concerning the strengths and weaknesses of his or her proposal. These comments may include suggestions for how a revised or subsequent application to NIJ might be improved.

Under law, the Director has sole authority for awarding grants. Thus, panel assessments of the program submissions, together with the Institute program manager's assessments, are submitted for consideration by the Director. At the conclusion of his review and after thorough scrutiny of the proposed financial estimates, the Director formally awards successful proposals by signing the appropriate award documents.

Review criteria

The essential question asked of each application is, "If this *line* of research were successful, how would criminal justice policies or operations be improved?"

Five criteria are applied in the evaluation process: technical merit, understanding of the problem, importance of the research, qualifications of the applicant, and project costs.

Technical merits are judged by the likelihood that the research design would produce convincing findings. Reviewers take into account the logic and timing of the research plan, the validity and reliability of measures proposed, the appropriateness of statistical methods to be used, and the applicant's awareness of factors that might dilute the credibility of the findings. Applications must rate well on technical merit in order to be evaluated under the remaining criteria.

Applicants bear the responsibility of demonstrating to the panel that the research proposed is a contribution to the knowledge base in a given field and that the body of research findings could ultimately contribute to a practical application in law enforcement or criminal justice. Reviewers will assess the applicants' awareness of related research and their ability to point their research toward answering questions of policy or improving the state of criminal justice operations.

Applicant qualifications are evaluated both in terms of the depth of experience and the relevance of that experience to the

research proposed. Costs are evaluated in terms of the reasonableness of each individual item and in terms of the utility of the project to the Institute's program.

Research methodologies

The Institute supports a wide range of research designs and methodologies including simple descriptive studies and secondary data analysis. Experimental designs are strongly encouraged because of their potential relevance to policymaking and the strength of the evidence they can produce. Proposals for field experiments need to be sufficiently definitive to permit an informed review, yet sufficiently open to the kind of revisions that result from the extensive collaboration with operational agencies actually implementing the experiment.

Standards of performance by recipients

The National Institute of Justice expects individuals and institutions receiving its support to work diligently and professionally toward completing a high quality research product. Besides this general expectation, the Institute must impose some specific requirements to ensure that proper financial and administrative controls are applied to the project. Financial and general reporting requirements are detailed in an Office of Justice Programs document, "Financial and Administrative Guide for Grants." This guideline manual is sent to recipient institutions with the award documents. Project directors and recipient financial administrators should pay particular attention to the regulations in this document.

The Institute awards grants and enters into cooperative research agreements, depending upon the degree of administrative control that it believes necessary in its various research projects. Grants, which constitute the majority of awards, give researchers considerable responsibility and discretion in project decisions. Cooperative agreements are usually awarded when the nature of the project suggests that frequent and continuing NIJ participation in project decisions is desirable. In either case, award recipients incur a number of responsibilities as part of their participation in Government-sponsored research.

Some of these responsibilities are highlighted below.

Communications

Project monitors should be kept informed of research progress. Written progress reports are required on a quarterly basis. All awards use standard quarterly reporting periods—January 1 through March 31, April 1 through June 30, etc.—regardless of the project's start date. Progress reports need not be lengthy, but they should tell the monitor which tasks have been completed and whether significant delays or departures from the original workplan are expected.

Timeliness

Principal investigators are expected to complete award products within the

timeframes that they have set for themselves. The Institute recognizes that there are legitimate reasons—such as site startup delays and unexpected changes in programs—for project extensions. It does not consider the assumption of additional research projects that impinge upon previous time commitments as legitimate reasons for delay. Projects with unreasonable delays can be terminated administratively. In this situation, any funds remaining are withdrawn. Future applications from either the principal investigator or the recipient institution are subject to severe scrutiny and may be denied support based on past failure to meet minimal standards.

Publications

The Institute encourages grantees to disseminate their findings through a variety of media such as professional journals, books, and conferences. Copies of such publications should be sent to the project monitor as they become available even if they appear well after a project's expiration. NIJ imposes no restriction on dissemination other than the following acknowledgment and disclaimer:

> This research was supported by grant number _ from the National Institute of Justice. Points of view are those of the author[s] and do not necessarily represent the position of the U.S. Department of Justice.

Depending on the nature of a project, a variety of alternative publication formats may be appropriate for disseminating project findings to the research and policy communities. Two-thousand word articles appropriate for *NIJ Reports* or slightly longer presentations in the NIJ *Research in Brief* series are examples of available mechanisms used from time to time to communicate project findings to a wider audience.

Research agencies occasionally find it worthwhile to give important research findings to the media. In such instances, the Institute requires that copies of press releases about NIJ research be sent to the Institute at least 20 days in advance of the actual release. This policy alerts the Department of Justice public information office to possible press inquiries and enables the Institute to coordinate press coverage of Institute-sponsored research findings.

Data sets

Copies of all machine-readable data sets generated in conjunction with Institute-supported research must be provided to the Institute at the end of the project period, along with code books and documentation. This requirement is strictly enforced. Alternative arrangements require the explicit approval of the Director at the time of award.

Research Program Plan Announcements

Office of Crime Prevention and Criminal Justice Research

Apprehension, prosecution, and adjudication of criminal offenders

Crime has a dramatic detrimental impact on individuals and society. An estimated five out of every six citizens are in jeopardy of being victims during their lifetime and many are victimized more than once.[1] That impact is exacerbated when the response to crime by the criminal justice system is seen by the public to be less than effective. Citizens generally expect that the system will fairly and effectively apprehend, convict, and sanction criminal offenders. Such an effectively functioning system is not only a response to the current crime problem but should also communicate the consequences of crime to the criminal and thus reduce future victimization.

While a criminal justice system perfectly effective in this regard is certainly not realizable in practice, improved effectiveness in the sanctioning of those guilty of serious crime must remain a goal for the criminal justice system. Many crimes go unsolved although research suggests that most of the persisting criminals are eventually caught.[2] De facto decriminalization, such as no-charge or no-jail policies for certain property or narcotic offenders, may be the response of an overburdened system, but such policies are not without a consequence to society.

In current practice, for each felony crime cleared by arrest, four go unsolved.[3] Five of every six arrests for felony offenses result in no conviction or conviction on a lesser charge. Over 40 percent are dismissed at screening by the prosecutor or at the charging hearing by the court for insufficient evidence.[4] Meanwhile, prisons are crowded; and incarcerated, sometimes violent, offenders are being released because of court orders to reduce crowding.

The criminal justice process is fraught with competing interests, conflicting theories, and varied discretionary practices. Jurisdictions may present enormous variations in their apprehension, prosecution, adjudicatory and sentencing approaches. These suggest significant consequences to justice system policy in terms of future public safety. However, the common central issue in the system's effectiveness in sanctioning serious offenders is the establishment of a sufficiency of evidence to determine guilt beyond a reasonable doubt.

While variation exists in prosecution screening practices throughout the country, a common reason among prosecutors for rejecting cases centers on evidence problems. Many cases are declined due to insufficient evidence or to witness problems such as reluctance to testify, unclear or inconsistent statements, and failure to appear. Given career criminal and high-rate offender patterns, these evidentiary problems can have a serious impact on safety in our communities.

Evidence may take several forms: physical, documentary, and testimonial, and each of these may present special problems. Whatever the evidentiary form, the police present this information to the prosecutor for a determination of its sufficiency. The definition of insufficient evidence may vary, with some prosecutors willing to take more of a risk by filing charges in a case that might prove comparatively difficult at trial.

The practice of plea bargaining continues to be a controversial one. Public perceptions of plea bargaining include the view that the criminal offender is receiving less than his "just deserts" and that the system is doing less than a good job. Many prosecutors would argue, however, that some form of discretionary power, generally expressed by the phrase "plea bargaining," is both endemic to the process and on balance beneficial to society's demand for justice.

The State of Alaska continues a "no plea bargaining policy" instituted over 10 years ago,[5] and a number of prosecutors' offices in other States practice a similar philosophy. A district attorney in California, who implemented a policy restricting bargaining with charges and sentences, states: "Many applauded the demise of a system where criminals expected and got something for nothing with legitimate charges 'broken down' for the sake of expedience, and the sentences worked out in advance by the lawyers."[6] Debate regarding plea bargaining—its purposes, effects, and the extent of its use—continue among both academicians and practitioners.

Recent advances relevant to physical evidence may be able to make the difference in certain cases where testimonial evidence and a weak prosecutorial bargaining position have been problematic. New fingerprint technology, the use of DNA as an identifier, the development and application of voice print, and the use of "artificial intelligence" in serial murder cases are among the forensic advances that do not rely on the often unreliable eyewitness account. With a higher level of confidence in scientific evidence, the new challenge has become how to successfully integrate new technical advances into the system.

Within some jurisdictions problems continue in regard to management issues. For example, concerns exist regarding alternative methods for handling misdemeanor cases or delays in the trial process. Courts attempting to address this latter problem have prioritized criminal over civil matters, established speedy trial rules, initiated delay reduction programs, developed alternatives to traditional adjudication, and instituted programs to enhance judicial resources. Successful jurisdictions have found that ensuring firm trial dates and maintaining continuous control of the case have been key factors in addressing a delay problem.[7] Case management problems remain, however, in many jurisdictions that have been unable to implement or sustain effective delay reduction programs.

A number of studies and reports suggest a view of the criminal justice system as if it were an enclosed but flexible system—when pushed in one area, it reacts in another in order to maintain some semblance of the status quo.[8] For example, reducing judicial discretion at sentencing is said to increase the prosecutor's discretion at charging. The prosecutor decides what a judge hears and the bounds of his sentencing. This discretion by the prosecutor may thus be the most powerful and also the least informed by research.

Scope

Criminal justice policymakers, faced with what seems to be an obvious system overload, have attacked the crime problem in a variety of ways. Perhaps most notable at the local level have been those programs concerned with the concentration of resources on the apprehension and charging of major felony offenders, and on improving police and prosecutor coordination.[9]

Finding better ways to gather evidence includes knowing what to look for and where to find it. An NIJ extension of the VICAP Crime Analysis Study in Seattle is focused on improving homicide investigation. This research includes the development of a model statewide homicide information system and the identification of critical "solvability" factors and salient characteristics of homicides. Over 1,200 solved and unsolved Washington State homicide cases between 1981 and 1986 make up the data base upon which the analyses will be drawn. This research will also provide police management with information necessary to allocate manpower and investigative resources more efficiently. Other research impacting on evidentiary issues focuses on DNA as an identifier. This technology offers the promise of the unique identification of offenders from the biological evidence such as blood, semen, or hair they leave at the scene of a crime.

The criminal justice system has managed to cope with its overload by making changes in its administration of the pretrial phase of the offender's career. For example, independent pretrial services agencies provide magistrates with the means for deciding release conditions that are intended to ensure the defendant's appearance in court and to reduce the risk of the defendants committing crimes while on bail.[10] Laws have been passed by the States and the Federal Government to allow the detention of defendants at high risk. NIJ is supporting a Bail Guidelines Study in Phoenix and Miami that provides magistrates with an assessment of the probability of a defendant's failure-to-appear or committing crimes while on bail. Among the conditions being tested is one using urine monitoring to determine whether the use of drugs by arrested defendants might aid the release decision.[11]

These changes reflect a general consensus that there are ways in which the "system" falls short. The system is costly, and varying levels of injustice, unfairness, and lack of protection of the innocent are perceived. In this overburdened system, the directions of most beneficial policy change are by no means self-evident. Research has provided some solutions to aid the system such as better identification of offenders and assessment of their risk to the community, or guidelines for judges to use in making pretrial release decisions.

Some recent attention focuses on evidence problems which, as noted above, are a common reason for prosecutors to reject cases. Research in regard to methods of aiding victim and eyewitness recall of events has been completed and additional work is ongoing.

Completed research has addressed the use of a technique known as the cognitive interview, and also the forensic use of hypnosis. The former approach offers a structured method for enabling a witness to recall an event from a variety of perspectives and it is now being studied with regard to children as witnesses. The latter has been thought to enhance recall through the relaxed state of hypnosis. Recent research suggests, however, that hypnosis does not increase recall—at least not in the absence of emotion-laden memories. Current research continues to address this subject of facilitating eyewitness recall through a comparative examination of hypnosis and the "cognitive interview" techniques with subjects who experience varying degrees of memory loss in stressful situations.

A backlog of cases in the criminal court creates witness attrition and works to the disadvantage of conducting a speedy and fair trial. Thus, research sponsored by NIJ within the adjudication area has addressed topics such as case processing, delay reduction in the trial and pretrial process, the use of lawyers who volunteer as judges to reduce case backlog, court organization, and alternatives to the traditional adjudication process.

In the field of sentencing, NIJ research has focused on sentencing guidelines and such innovations as the "day fine" method. A current study of sentencing effects is being undertaken as a joint effort of researchers and practitioners in New Jersey. A comprehensive data set is being developed which merges a 1977 sentencing file of over 15,000 cases with criminal history files from the State police and corrections information from the Department of Corrections. These combined data systems will permit tracking of offenders from the 1977 sentencing period for subsequent crimes, and it will allow for an examination of the effects of various sentences on subsequent recidivism thus providing judges with feedback information on the results of their decisions.

The following topic areas, although not intended to be complete in their coverage, are presented as examples of research themes that would fall within the general scope of this program. Other areas and issues of relevance to criminal apprehension, prosecution, and adjudication may also be addressed. A primary concern is the projected utility and generalizability of the research.

Focusing resources on the most serious and persistent offenders

A variety of apprehension and prosecution programs and policies have been inaugurated, which are aimed at removing from the community those offenders who pose the greatest threat in terms of the frequency and seriousness of their crimes. These include:

- Targeting police investigations on individuals who fit established criteria as "career criminals" or "repeat offenders."

- Coordinating efforts between State and local agencies and the Federal Government.

- Coordination within a criminal justice system—among police, prosecutors, and judges—to realize the common goals of justice and societal safety.

Studies thus might examine the relative effectiveness of enforcement and prosecution schemes for prioritizing particular classes of criminals such as repeat offenders or major drug offenders, and might investigate methods for improved policy coordination.

Investigating and charging practices in the criminal case

Investigation and enforcement procedures, particularly in regard to search and seizure issues, continue to be an important area in which research can continue to provide useful information.

Decisionmaking in regard to case screening, plea bargaining, and evidentiary issues and problems are also of interest under this request for proposals.

Specific crimes and substantive topics that have prompted many police and prosecutor agencies to establish specialized units are also of considerable interest. These include the investigation and prosecution of domestic violence cases, physical and sexual abuse of children, and drug cases.

Impact of reforms and innovations in the criminal justice system

Studies of effective reforms and innovations within the criminal justice system, particularly those that have been maintained over time, are of interest.

Experimental studies are encouraged to discover the actual difference between various choices and strategies used in police prosecution and judicial settings.

The alternative dispute resolution area also remains as an area in which policy-relevant research is encouraged. How do such alternatives compare to traditional forms of adjudication? What would be the results of an experiment involving a random assignment of misdemeanants to an alternative approach such as mediation or arbitration versus traditional case processing?

Deadlines and further information

Ten (10) copies of *fully executed proposals* should be sent to:

Apprehension, Prosecution, and Adjudication Program
National Institute of Justice
633 Indiana Avenue NW.
Washington, DC 20531

To be considered, completed proposals must be received at the National Institute of Justice before 5 p.m. February 3, 1989, for Cycle 1, and before 5 p.m. June 2, 1989, for Cycle 2. These deadlines will not be extended.

To obtain further information about this solicitation, researchers may write to Bernard Auchter, Program Manager, Apprehension, Prosecution, and Adjudication Program, at the above address, or call him at 202–724–2952.

References and related grants

1. *Criminal Victimization in the United States 1985*, A National Crime Survey

Report, Bureau of Justice Statistics, May 1987.

2. Cohen, Jacqueline, "Incapacitation as a strategy for crime control," in *Crime and Justice*, University of Chicago Press, 1983.

3. *Uniform Crime Reports*, 1975, 1985, and 1987, Federal Bureau of Investigation, U.S. Department of Justice.

4. *Criminal Victimization 1985*, n. 1 above.

5. See *Alaska Bans Plea Bargaining* by Michael L. Rubinstein, Stevens H. Clarke, and Teresa J. White, National Institute of Justice, July 1980.

6. Bradbury, Michael D., "Plea bargaining: the carnival leaves the courthouse for good," *Prosecutor's Brief*, Fall 1986.

7. See "Caseflow management and delay reduction in urban trial courts" by Barry Mahoney, Report to the National Institute of Justice and the Bureau of Justice Assistance, May 1987; *State Court Journal* 9, 4, (Fall 1985); and others.

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10. "Development and implementation of bail guidelines: highlights and issues," John S. Goldkamp, National Institute of Justice, 1984.

11. "Drug Use Forecasting: New York 1984 to 1986," National Institute of Justice *Research in Action*, 1987; "Drugs and crime," *NIJ Reports*, National Institute of Justice 1987.

87–IJ–CX–0056—Phoenix Repeat Offender Experiment Program, The RAND Corporation.

87–IJ–CX–0052—The Use and Effectiveness of Hypnosis and the Cognitive Interview for Enhancing Eyewitness Recall, Institute of Pennsylvania Hospital.

87–IJ–CX–0026—Improving the Investigation of Homicide and the Apprehension Rate of Murderers, Washington State Attorney General's Office.

87–IJ–CX–0007—Drug Abuse and Misconduct During Pretrial Release, Temple University.

87–IJ–CX–0001—An Experiment on the Use of Day Fines in Criminal Court, Vera Institute of Justice.

86–IJ–CX–0046—Evaluation of Mental Health Expert Assistance for Indigent Defendants, National Center for State Courts.

85–IJ–CX–4007—Reducing Avoidable Felony Case Attrition, Hindelang Criminal Justice Research Center.

85–IJ–CX–0051—Alternative Procedures for Reducing Delay in Criminal Appeals, Justice Resources.

85–IJ–CX–0044—Reducing Trial Time, National Center for State Courts.

85–IJ–CX–0005—The Effects of Sentences on Subsequent Criminal Behavior, State of New Jersey Administrative Office of the Courts.

84–IJ–CX–0077—Implementation of Delay Reduction Programs in Urban Trial Courts, National Center for State Courts.

84–IJ–CX–0072—How Police and Prosecution Procedures Affect Case Attrition Rates, The RAND Corporation.

84–IJ–CX–0056—Assessing the Utility of Bail Guidelines, Temple University.

83–IJ–CX–0008—Public Danger as a Criterion in Pretrial Release Decisions, Toborg Associates.

Public safety and security

In addition to their responsibility for the investigation of crimes and the apprehension of criminals, police can play a very basic role as managers of a region's level of safety and security. Through proactive efforts, police can serve as a catalyst in developing a comprehensive approach to the prevention and control of crime. Strategies to reduce crime and fear may require the effective coordination of actions involving the police, community groups, and other public and private agencies that are concerned about quality of life issues. The emphasis here is on preventing crime and reducing fear through cooperative efforts to deal with crime, disorder, and a variety of community problems.

One reason for forming governments is to provide citizens with protection. However, the demands for public safety often exceed the government's capacity to deal effectively with perceived threats in the community. As a result, many citizens experience an increasing sense of vulnerability and are seeking alternative means of preventing and controlling crime. These alternatives include the use of private police, security devices, and participation in citizen efforts to prevent crime and enhance criminal justice operations, e.g., citizen patrols and Crime Stoppers programs. While police are part of the criminal justice system, private security is not. It has specific clients who view private security services as a better option for meeting their special needs compared to raising taxes for more public police to be distributed in neighborhoods far from their tax base.

Issues of public safety and security are growing concerns and may be a consequence of past policies that limited police primarily to responding to calls for service. With such policy, police place less emphasis on disorder and community problems, which may result in increased fear of victimization. The public's concern about crime is not unfounded and has an empirical basis in the fact that one household in four is likely to be victimized by crime each year and the chances of becoming a violent crime victim are greater than the chances of being injured in a traffic accident. During their lifetime, five out of every six Americans will be victims of a violent crime, and among young black men in this country, homicide is the leading cause of death. The lifetime risk of being murdered is as high as 1 in 30 among black males.[1] The nature and patterns of crime and victimization have also undergone change. We now see new kinds of victims and new kinds of crime, criminals, and modus operandi, especially as they relate to drug use and distribution.

As the Nation nears the end of the 20th century, the nature of crime, victimization, and citizen fear presents a new and unusual challenge to the institutions responsible for law and order. Traditional responses of current institutions are ill prepared to cope with the scope, depth, and variety of crime-related needs expressed by citizens who view the threat of crime as one of the major problems in their lives and in America. Accordingly, research must help to support a more meaningful and responsive crime control effort commensurate with the threats to public safety and security.

Many citizens view crime as one of the major threats to their well-being. This perception of threat has been enhanced by the link between drugs and crime and the violence that drug trafficking often engenders. Homicides, including those of innocent bystanders, have increased dramatically in a number of urban areas where drug activity has become a way of life. Efforts to establish and maintain social control are seriously jeopardized in those settings when enterprising youth are able to earn more in a few days engaging in drug-related activities than working full time for a year as a fast-food employee.[2]

The impact of crime in a community is experienced in terms of a variety of economic and social-psychological consequences. In 1988, our society will spend more than $51 billion at all levels of government on public crime control efforts along with about $43 billion on private security protection.[3] The direct costs of crime to victims are also significant—estimated, for example, at a total of $13 billion in 1985. The most pervasive impact of crime, however, is often social-psychological in nature. For victims, fear is usually the most serious and enduring legacy of their experience with crime. For others, fear often has a contagious effect that spreads the negative impact of criminal victimization.

About two-fifths of the population express concern about being victimized, and 45 percent restrict their daily activities in order to reduce their vulnerability.[4] Not only does fear limit citizen activities and lifestyle but it also reduces opportunities for economic growth, development, and revitalization of neighborhoods and thus limits the economic and social mobility of the citizens who reside there.[5] Fear of crime is generated not only through direct victimization experiences but also through unreliable, second-hand information about crime that is communicated through a variety of informal social networks. In addition, signs of physical and social disorder are major determinants of citizen fear of crime.[6] Litter, graffiti, abandoned cars, loitering youths, and public evidence of alcohol and drug abuse all convey a sense that things are out of control. Since many offenders are rearrested in the same community after conviction and release from prison or while on bail awaiting trial, citizen fear is also impacted by justice system policy that is directed at shorter sentences, probation, and community release programs for potentially dangerous offenders. Therefore, strategies to reduce fear need to address signs of physical decay and social disorder as well as more direct efforts to prevent and control crime.

Research has highlighted the analogy between society's response to social problems dealing with crime and those involving disease. Just as there is a need to focus on promoting health through prevention as well as curing illness, so too there is a need to enhance community security through preventive strategies along with efforts to sanction crime when it occurs. Personal withdrawal from community life, the weakening of informal social controls, and the decline in the organizational and economic life of a neighborhood are all quality of life features that need to be addressed in an effort to enhance community security.

NIJ research and evaluation efforts have documented the fact that many of the established forms of crime prevention and policing have had limited effects in promoting community safety and security. In the past, reliance on individual citizen actions and traditional forms of patrolling and police investigation were often ineffective in reducing crime and the fear of crime.[7]

In large part this was due to the fact that citizen and police crime control efforts were generally carried out as parallel and somewhat independent sets of activities. A major theme that has emerged from research on the limited impact of these past efforts is a recognition of the necessity for *co-production of community safety and security*. NIJ research has helped to make clear that the level of crime, disorder and fear in a community is determined by the action of citizens, police, and other municipal agents and groups in the private sector. There is a growing recognition that both crime and the fear of crime need to be addressed in a more comprehensive, collective, and coordinated manner.

Scope

Research has demonstrated how a comprehensive focus on citizen, police, and environmental strategies can help to reduce crime and fear in urban neighborhoods.[8] Specific forms of physical and social disorder have also been identified as major sources of fear with attention given to means of mobilizing communities to deal with these problems.[9] Research has also shown how informal social control as well as police activity can influence a community's sense of security.[10] Studies of police operations concerned with public safety have shown how police can deal more effectively and efficiently with citizen calls for service, patrol deployment, and criminal investigations.[11] Efforts to reduce fear of crime have incorporated innovative strategies that promote more positive and sustained interaction between police and citizens.[12] Research that addresses crime and fear of crime from a policy-oriented perspective has also highlighted the effectiveness of identifying and responding to these problems through the coordinated use of community resources.[13]

Since police work is evolving away from merely responding to calls for service and apprehending criminals, current NIJ research is giving special attention to various means by which police and citizens can work together more effectively in identifying problems that merit a priority focus within particular neighborhood settings as well as the strategies that are most likely to be effective in dealing with these problems. Studies are examining the organizational structure and policies of the police that facilitate a more problem-oriented approach to community problems and that enable the police to utilize a greater variety of resources in dealing with problems of crime and fear. This includes the use of new forms of technology and policing procedures. In addition, the National Institute is supporting the Executive Session on Policing at Harvard University, which is examining the nature and implications of major changes in policing. Several important topics have

been addressed through this forum, including new forms of policing and addressing the fear of crime.[14]

This solicitation requests proposals that identify new ideas for research or that build on the results of past research. Of specific interest are proposals concerned with "co-production" of community safety and security in terms of developing more useful and effective means of integrating citizen, police, and other public and private sector resources in order to reduce crime and the fear of crime. In addition, there is interest in improving the effectiveness and efficiency of police services and operations that impact on public safety and that influence public support and satisfaction with the police. This includes, but is not limited to, new or improved proactive problem- and community-oriented approaches to crime control by police, private security, community groups, and other public institutions, in order to identify those strategies that are most effective in reducing fear, victimization, and their destructive impacts on society.

The following research topic areas, while not intended as an exhaustive list, identify some issues of particular concern and the direction in which research and action are moving.

Co-production of public safety and security

Traditional policing consists largely of reactive responses to calls for police services. However, there is a growing recognition that certain kinds of public safety problems can be better dealt with by cooperative efforts with other public agencies and with private sector resources rather than solely within a law enforcement framework. Co-production strategies to enhance public safety and security are particularly important because this approach can be effective in reducing crime and its impact on community life. Within law enforcement, police have begun to experiment with a number of proactive approaches to crime problems. Of special interest here are the strategies that police can use to promote co-production of public safety and security and the implications of this approach for police organization, management, and service operations.

Other issues that merit special attention include procedures that police can use to analyze the range of existing community problems in order to identify those that are most amenable to a coordinated, problem-solving approach. Strategies that are effective in dealing with particular kinds of problems also need to be addressed in order to develop meaningful forms of proactive policing. Methods that police can use to mobilize other municipal resources in order to provide a more comprehensive approach to community safety and security also need to be examined as well as law enforcement strategies dealing with drugs and crime that effectively incorporate the actions and response of both the public and private sectors of the community.

A focus on the public's role in co-producing safety and security is also of interest, with a special emphasis on the development of more effective means of integrat-

ing community responses to crime and fear with those of the police, other municipal agencies, and the private sector. Research that examines the community's role and responsibility in dealing with major problems linked to drugs and crime within specific neighborhoods is of particular interest.

Research is needed to assess various strategies that community groups can use to determine specific community concerns about public safety and security and to promote more proactive forms of community crime prevention. This could include public support for the development and implementation of more effective security ordinances or the innovative use of various forms of code enforcement (e.g., housing, trespass, etc.) to deal with special neighborhood problems, including those related to drugs and crime.

Limited public funding for police is beginning to create vacuums of police service, which are being addressed more and more by private security. The Hallcrest Report, which was based on 1979 data, reported an annual growth rate of 15 percent for private security along with U.S. Department of Labor figures projecting higher growths of new jobs in private security. This study also reported the lack of firm and ongoing relations between public and private security forces.[15] Of special interest are studies that assess the use of public and private sector resources to provide more proactive forms of crime prevention as well as more efficient strategies to deal with chronic security concerns. Research is also needed to develop more effective means of collaboration and information-sharing between police and the private security industry as they deal with crime problems in commercial and residential settings. Evaluations of the effectiveness of private security operations on crime displacement and deterrence and case studies of successful projects such as the Oakland center city project are also of interest.[16]

Police efficiency and effectiveness

Research that can be useful to police both in carrying out traditional police services as well as some of the newer forms of policing is encouraged. Reduced resources mean that police should be helped to work smarter, not necessarily harder, and research can be useful here. For example, the Institute has funded several efforts aimed at applying computer technology to ease and simplify police management, planning, and reactive operations. The PISTOL project in St. Petersburg, Florida, which seeks a paperless police information system using lap and personal computer technology, is but one example. In addition, computer mapping of crime patterns at specific locations allows the police and the community to be more effective in dealing with particular concerns about public safety and security. The use of these tools in innovative programs provides departments with the potential to use manpower more effectively in dealing with a variety of community problems. Computer-based "expert" systems, such as that being investigated for burglary by the Baltimore County Police Department, can also provide more efficient and effective police operations.

Projects that examine and test procedures for improving police efficiency and

effectiveness in reducing crime and fear are of interest, especially those that relate to major problems involving drugs and crime. Fear of crime studies in Newark, New Jersey, and Houston, Texas, and problem-oriented policing (POP) research, such as that in Newport News, Virginia, are revealing new ways to save police resources and to use them more effectively.

Deadlines and further information

A variety of research designs and methodologies will be considered eligible under this program, including evaluations of existing programs, field experiments, and those research projects aimed at the development and testing of new strategies. Since the National Institute of Justice is only authorized to support research, projects that deal with training or other operational activities are not eligible under this program.

Proposals must include a one-page abstract of the project and contain clear definitions of the problem(s) to be addressed and a discussion of the related research. They must identify the key research variables showing their relevance to crime control, victimization and improved public safety, security and quality of life. Applicants must also provide detailed descriptions of their proposed research designs, including their data sources, data collection methods, and analysis plans. Letters of cooperation should be furnished from data sources.

Ten (10) copies of *fully executed proposals* should be sent to:

Research Program on Public Safety and Security
National Institute of Justice
633 Indiana Avenue NW.
Washington, DC 20531

Completed proposals must be received at the National Institute of Justice no later than 5 p.m. on the dates specified for each cycle. This program's first cycle deadline is January 27, 1989. The second cycle is May 26, 1989. Extensions will not be granted.

Applicants are encouraged to contact the Institute to discuss topic viability or proposal content before submitting their proposals. To obtain further information, potential applicants may contact George Shollenberger at 202–724–2956.

References and related grants

1. Bureau of Justice Statistics, *Report to the Nation on Crime and Justice*, second edition, 1988.

2. *New York Times Magazine*, June 12, 1988.

3. William Cunningham and Todd Taylor, *The Hallcrest Report: Private Security and Police in America*, Chancellor Press, 1985.

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5. James K. Stewart, "The urban strangler," *Policy Review*, 1986.

6. Wesley Skogan, "Fear of crime and neighborhood change," in *Communities and Crime*, University of Chicago Press, 1986.

7. Joan Petersilia, *The Influence of Criminal Justice Research*, RAND Corporation, 1987.

8. F. Fowler and T. Mangione, *Neighborhood Crime, Fear and Social Control*, National Institute of Justice, 1982.

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10. S. Greenberg et al., *Informal Citizen Action and Crime Prevention at the Neighborhood Level*, National Institute of Justice, 1985.

11. William Spelman and Dale Brown, *Calling the Police*, Police Executive Research Forum (PERF), 1984; John Eck, *Solving Crimes*, PERF, 1983; and R.C. Larson and M.F. Cahn, *Synthesizing and Extending the Results of Patrol Studies*, National Institute of Justice, 1985.

12. A. Pate et al., *Reducing Fear of Crime in Houston and Newark*, Police Executive Research Forum and National Institute of Justice, 1986.

13. John Eck and William Spelman, *Problem-Solving: Problem-Oriented Policing in Newport News*, Police Executive Research Forum and National Institute of Justice, 1987.

14. See *Perspectives in Policing*, a series of policy discussions at the Executive Sessions on Policing, John F. Kennedy School of Government, Harvard University, sponsored in part and published by the National Institute of Justice. The first three papers published were George L. Kelling, "Police and Communities: the Quiet Revolution"; Mark H. Moore, Robert C. Trojanowicz, and Kelling, "Crime and Policing"; and Moore and Trojanowicz, "Policing and the Fear of Crime," all June 1988.

15. *Hallcrest Report*, n. 3 above.

16. A.J. Reiss, *Policing a City's Central District: The Oakland Story*, National Institute of Justice, 1985.

88–IJ–CX–0003—Impact of Crime on Neighborhood Business Viability, Northeastern University.

87–IJ–CX–0006—The Community Patrol Officer Program, Vera Institute of Justice.

87–IJ–CX–0010—Evaluation of Community Crime/Problem Resolution Through Police Directed Patrol, Research Management Associates.

87–IJ–CX–0055—Neighborhood Oriented Policing, Houston Police Department.

87–IJ–CX–0062—Evaluation of Madison's Experimental Police District, Police Foundation.

86–IJ–CX–0008—Improving Police Effectiveness in Police-Citizen Interactions, Police Foundation.

86–IJ–CX–0037—Repeat Complaint Address Policing (RECAP), Crime Control Institute.

86–IJ–CX–0074—Mapping Crime in Its Community Setting, Chicago Police Department.

85–IJ–CX–0070—Downtown Safety, Security and Economic Development Program: Phase IV, Regional Plan Association, New York City.

85–IJ–CX–0074—Disorder, Crime, and Community Decline, Northwestern University.

84–IJ–CX–0040—Crime Analysis Project, Police Executive Research Forum.

Punishment and control of offenders

The 1980's have witnessed a reduction in victimization for all types of violent and property crimes. There are probably several reasons for this decline. Changes in the age composition of the population and crime prevention efforts may have reduced victimization. But the decline in crime rates may be associated with changes in punishment and control of offenders: the number of convicted felons now imprisoned is greater than ever before in our Nation's history. Between 1980 and 1987, the U.S. prison population increased from 329,122 inmates to 581,609.[1]

What is clear is that crime remains a central concern of the public, and citizens are demanding that criminals be treated more punitively. Offender control is especially important in view of continuing crowding in many of our prisons and jails. Correctional authorities have, therefore, been experimenting with methods of managing offenders' behavior—within and outside of institutions—that will relieve some of the population pressure on incarcerative facilities but at the same time will preserve public safety.

Some jurisdictions have expanded the options available by developing intermediate sanctions, which are not as severe as imprisonment but which provide more punishment and control than traditional probation. These programs aim to provide stringent constraints on offender freedom, with some requiring compensatory payments to victims and society. Both the intensity of supervision provided and the number of punitive components of many of the Nation's programs give this intermediate sanction option strong face validity. But the need exists for better classification systems that will minimize the risk of future offending by matching defendants/offenders to appropriate levels of supervision.

As criminal justice administrators continue to cope with the critical issues of prison and jail crowding, the involvement of the private sector in the field of corrections is becoming more visible. Although prison construction bonds have been approved by voters in some States, the scarcity of public resources and the expanding needs of correctional agencies have led other States to consider the use and cost effectiveness of the private sector as a service provider. The President's Commission on Privatization reports that the United States is experiencing a renewed interest in the systematic examination of the boundary between public and private delivery of goods and services. Furthermore, "the interest also reflects a belief that new arrangements between the government and the private sector might improve efficiency while offering new opportunities and greater satisfaction for the people served."[2]

The large number of offenders incarcerated or under supervision, coupled with the lack of adequate correctional facilities and the concern to reduce future offending, raise a number of issues that need to be examined carefully. The National Institute of Justice is interested in supporting projects that will provide better information to criminal justice policymakers and administrators about options that might be considered in the management of correctional resources to

achieve improved control over crime in our society.

Scope

This announcement seeks proposals that will examine the relative cost and benefits of a variety of innovative policies of punishment and control, both in the community and within institutions, that both improve offender supervision and decrease the risk of further offending while in the community. These studies may relate to management concerns, operational strategies or program effectiveness. The following topic areas, although not intended to exclude others, are presented as examples of research themes in which the National Institute is interested.

Application of intermediate sanctions

The primary penal sanctions employed to punish and control criminal offenders are incarceration and probation. However, many jurisdictions are increasing their use of other sanctions, including fines, house arrest, electronic monitoring, community service orders, weekend confinement, intensive supervision, and a variety of treatment and control programs for substance abusers. Other jurisdictions are exploring a mix of sanctions such as "shock probation" (a brief prison stay prior to probation) or "split sentences" (in which the offender spends a period of time in jail as a condition of probation). Many models of intermediate sanctions seek to enable the offender to assume greater control over his behavior by requiring him to progress through levels of diminished supervision.

The Institute is supporting research related to another sanction innovation, "shock incarceration." This ongoing study is evaluating a military-like "boot camp" program, initiated by the Louisiana Department of Corrections. Inmates are given intensive supervision 7 days a week for 3 to 6 months while going through a program of physical training, drill, inspections, and therapy. Changes that occur as a result of its implementation at both the system and the individual levels are examined. Findings from this study should be of interest to other jurisdictions interested in developing similar programs.

The use of electronic monitors, telemetry devices designed to verify that an offender is at a specified location during specified times, has been receiving increasing attention from correctional administrators as well as other parts of the criminal justice system. NIJ has responded to the need for information through both staff-conducted research and funded projects. Electronic monitoring has the potential of improving offender supervision, particularly during curfew hours, without increasing the number of labor-intensive site visits of traditional supervision. Although this technology has been in use for only 3 years, as of February 14, 1988, 32 States were using the monitors on approximately 2,500 offenders.[3]

NIJ is also supporting research on other sentencing options including ongoing assessments of Intensive Supervision Probation (ISP) programs in New Jersey and Massachusetts. Findings from the

New Jersey ISP program revealed that participants were rearrested less frequently than a comparable group of prison releasees. Cautiously stated, the program saves a modest amount of prison space without increasing the risk of recidivism. It has been cost effective compared to ordinary terms of imprisonment and parole, and it has been monetarily beneficial in terms of earnings, taxes, payments to a fund for victims, etc.[4]

Research, particularly experimental research, is needed to define the benefits and drawbacks of sentencing alternatives and combinations and to determine how and when they can be more effectively employed with particular groups of criminal offenders. Of special interest are the impact of these sanctions in terms of consequences for public safety and the effectiveness of varying levels of face-to-face supervision. Experimental studies that address the selection of offenders appropriate for intermediate sanctions, capitalizing on those most likely to succeed, also represent a particular research interest.

In 1986, over 54 percent of those incarcerated in the Nation's prisons had been convicted of a violent offense.[5] These individuals may present a special potential for violence directed at both staff and other inmates. Not enough is known about the effectiveness of the varied strategies prison administrators have adopted to control violence within institutions. Research is therefore encouraged to examine the factors contributing to the development of violence within institutions and the effectiveness of control strategies to mitigate it.

Privatization of corrections

A recently completed study on issues in contracting for the private operation of prisons and jail demonstrates how a public facility can be managed and operated by a private entrepreneur.[6] This NIJ study undertook an exploratory analysis of the decisions State administrators and legislators must face before contracting for the operation of correctional facilities with the private sector. Kentucky's minimum security Marion Adjustment Center was the primary institution under study. Trends in contracting for State correctional facilities were reviewed and issues that have developed in the privatization effort were examined using the Kentucky experience as an example.

To help policymakers arrive at informed decisions, a number of issues merit continued attention: the appropriate role of the private sector in these operations, mechanisms for determining when and where private sector involvement is most useful and cost effective, and the assessment of specific private sector correctional experiences.

Deadlines and further information

Ten (10) copies of *fully executed proposals* should be sent to:

Research Program on the Punishment and Control of Offenders
National Institute of Justice
633 Indiana Avenue NW.
Washington, DC 20531

Completed proposals must be received at the National Institute of Justice no later than 5 p.m. on the dates specified for each cycle. This program's first cycle deadline is January 13, 1989. The second cycle deadline is May 12, 1989. Extensions will not be granted.

To obtain information about this solicitation, researchers may write to Voncile Gowdy, Program Manager, Punishment and Control Program, at the above address, or contact her at 202–724–2951.

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87–IJ–CX–0023—Evaluation of the Florida Community Control Program, Florida Department of Corrections.

87–IJ–CX–0027—Analysis of the Cost Effectiveness of Private and Public Correctional Facilities, Urban Institute.

86–IJ–CX–0040—Electronic Surveillance of Work Furlough Inmates, San Diego Association of Governments.

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86–IJ–CX–0064—Validity and Reliability of Eight Types of Electronic Monitoring Equipment, Utah State Department of Corrections.

86–IJ–CX–0080—Electronic Surveillance of Pretrial Releases as a Jail Crowding Reduction Strategy: Evaluation of a Controlled Experiment in Indianapolis, Toborg Associates.

85–IJ–CX–0036—Impact of Intensive Probation Supervision in Massachusetts, University of Massachusetts at Lowell.

85–IJ–CX–0060—Evaluation of an Interagency Vocational Rehabilitation Program for Youthful Offenders, North Carolina State University.

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Victims of Crime

Criminal victimization in the United States, as measured by the National Crime Survey, shows beneficial reductions in the period 1979–1985 from the extraordinary levels of the previous decade. Nonetheless, in 1985, one household in 13 was burglarized or had one of its members raped, robbed, or assaulted by a stranger. One household in four suffered at least one crime of violence or theft—a total of more than 22 million households. The chance of being a violent crime victim is greater than that of being hurt in a traffic accident. One is more likely to be a victim of personal theft than of accidental injury at work. Criminal homicide is one of the 15 most frequent causes of death, and, for the 15- to 34-year age group, it is second only to accidents as a cause of death during those years. Over an entire lifetime, at current (1985) crime rates, five-sixths of us will be victims of personal theft at least three times, and victims of violent crime at least once. Half of all urban households will be victims of two or more burglaries in a 20-year period.

These are national rates. For some subpopulations, rates are considerably higher. Moreover, in the years 1983–86, increases in violent crime were greatest in the suburbs.[1] Victimization levels may be somewhat lower than before, but crime and the fear of crime are still very real parts of all of our lives, and crime and drugs combined were a clear first choice as the "most important community problem" by respondents to the national 1986 New York Times/CBS poll.

Research, much of it conducted or sponsored by the National Institute of Justice, has played an important role in the rethinking of public policies about crime victims. Institute projects have provided legislators, criminal justice planners, and practitioners with new information on the effects of crime on victims, on the success of programs to help victims deal with the impact of crime, and on ways to assist victims who are involved in the criminal justice process. The importance of victims to the criminal justice system—both as aggrieved citizens deserving of consideration and justice, and as important elements in the process of criminal apprehension and prosecution—has also become more apparent. The judiciary, for example, has shown increasing receptivity to research showing the major role the courts play in the process of victim recovery and restoration. In response to these needs, the Victims of Crime Act of 1984 made matching Federal funds available to the States for services and compensation to crime victims. More than 30 States have passed victim bill-of-rights legislation. We have witnessed the emergence of victims as a force within the body politic and within the criminal justice system, and this development is likely to continue.

Research has thus been helpful in making us more aware of the needs of crime victims and how to meet those needs. Substantial policy changes in most States provide a unique opportunity for research, experimentation, and evaluation. For victimology, emphasis should shift to the more fundamental question of how to better understand the process of criminal victimization and the implications for individual and collective actions (including public policy) of a clearer grasp of the

victimizing event and its consequences. The aim is to reduce the level of victimization in the first instance, as well as to deal more effectively with its aftermath where necessary.

Over the past 20 years or so, victimology has greatly enlarged our knowledge of how the characteristics of victim and offender, and the effects of time and place, result in particular types of crime.[2] We also know more about the aftermath of victimization: medical, economic, behavioral, and psychological,[3] and the characteristics of those who do and do not seek help through established victim assistance programs. There is some question, though, about our progress in understanding the process of victimization well enough to reduce the amount of victimization. It has been argued that we need better studies of the criminal event and the micro and macro contexts and environments in which it occurs,[4] as well as the routine activities of the various participants.[5] A significant problem here concerns data sources. Victimology research may have to break out of its current convenience sample of available data sets. Some reconceptualization may also be necessary, which is likely to include incorporation of perspectives from situational crime prevention,[6] offender travel and decisionmaking,[7] and lifestyle/routine activities, among others. More victim-nonvictim comparisons may be needed to highlight risk factors that are subject to change in terms of activities, preventive behavior, places visited, etc.

Other possible research areas that appear to be relevant and worthy of more attention include the growing emphasis on community criminal careers,[8] and the employment[9] or community[10] contexts of individual or collective victimization. Studies of collective victimization may lead to more effective individual and collective responses as well as policies to reduce risk.

Scope

A continuing area of investigation at NIJ has been the *etiology of victimization*, both at the level of the individual and of the neighborhood or community. At the individual level, we are continuing to seek improvements in basic data sets and their utilization, and new ways of using these data. In our research on problem-oriented policing, we are showing how police can investigate and address public disorder crimes and quality-of-life issues. The topics of victimization, criminal investigation, and the reduction of crime and fear are being approached in a more comprehensive, integrated, and effective manner. We are also examining how individual attributes and routines interact with environmental contexts in the production of victimization, and how individual and neighborhood security factors determine the outcome of residential burglary. Elements that are and are not in the individual's control can be more clearly specified in this research approach, ultimately leading to more appropriate and effective individual responses and public policy.

We are also beginning to examine the etiology of victimization at the neighborhood and community levels. Ecological

and epidemiological studies are one of the oldest traditions in criminology and we are continuing that tradition with our investigations of community careers in crime. Communities can be victims of public and private policy decisions at all levels including international (e.g., drugs) or of migratory flows of population and resources. By the time these changes manifest themselves in public disorder and crime, an almost irreversible process of decline may have been set in motion. Research is identifying land use and demographic changes that seem to appear when a neighborhood is entering early stages of the deterioration cycle. As our ability to identify at-risk neighborhoods improves, implications for policy and practice should become more evident.

Another continuing area of investigation at NIJ has been the *impact of victimization*. We are examining both the psychological and medical impacts of victimization by burglary, rape, robbery, or criminal and vehicular homicide of a loved one. How the passage of time affects the impact of some of these crimes is also being examined. This information on the impact of victimization will enhance our understanding of the victim's response to efforts to deal with the psychological consequences and to alter behavior in ways that decrease the likelihood of revictimization. How individual-level impacts diffuse through social networks to increase area-level fear and concern may also become better understood.

Program of research

Research proposals are sought in two main topic areas, as follows:

1. Studies of the etiology or process of victimization that include consideration of routine daily activities and environmental characteristics as factors in the victimization of persons and property. Studies integrating individual-level and organizational or community-level factors in victimization. Studies of how these factors may change over time. Implications for individual or collective actions and behavior, as well as for policy at a broader level.

2. Studies of the financial, psychological, and behavioral costs and consequences of criminal victimization; of maladaptive vs. effective coping; and of satisfaction/dissatisfaction with the criminal justice system. How these aftermaths may vary with types of crime, of victim, or of societal response.

Deadlines and further information

Ten (10) copies of *fully executed proposals* should be sent to:

Research Program on Victims of Crime
National Institute of Justice
633 Indiana Avenue NW.
Washington, DC 20531

Completed proposals must be received at the National Institute of Justice no later than 5 p.m. on the dates specified for each cycle. This program's first cycle deadline is January 20, 1989. This program's second cycle is May 19, 1989. Extensions will not be granted.

Applicants are encouraged to contact the Institute to discuss topic viability or proposal content before submitting their proposals. To obtain further information, potential applicants may contact Dr. Richard M. Titus at 202–724–7686.

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87–IJ–CX–0005—Teaching Victims to Reduce Their Vulnerability to Crime, Victim Services Agency.

86–IJ–CX–0074—Mapping Crime in Its Community Setting, Chicago Police Department.

86–IJ–CX–0037—Repeat Address Complaint Policing, Crime Control Institute.

85–IJ–CX–0074—Disorder, Crime, and Community Decline, Northwestern University.

85–IJ–CX–0042—Reactions of Female and Male Victims of Rape and Robbery, University of Missouri.

85–IJ–CX–0038—Somatic Impact of Criminal Victimization, Kent State University.

85–IJ–CX–0029—Adjusting UCR Data for Research, Northeastern University.

84–IJ–CX–0040—Crime Analysis Report, Police Executive Research Forum.

78–NI–AX–0127—Crime and Changing Neighborhoods, University of Southern California.

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White-collar and organized crime

White-collar and organized criminal activities have become increasingly pervasive and their effects are being felt by millions of Americans. The alarming scale and prevalence of these sophisticated crimes are just beginning to be illuminated, as recent successes in major case investigations and prosecutions have produced new sources of data to increase our current awareness and provide a basis for further research.

While they may not generate in the public the paralyzing fear elicited by such violent crimes as robbery and rape, these complex and predatory offenses have far-reaching consequences that threaten our economic security, corrupt our legitimate institutions, and undermine public trust in government and law. Moreover, their intricate and covert nature makes them especially resistant to law enforcement intervention. In an effort to address these special problems, this program announcement requests proposals for research that will improve our understanding, prevention, and control of white-collar and organized crime.

Today, conditions exist that have caused many of these crimes to reach critical proportions, dramatically greater in frequency and scope than they were even 5 years ago. For example, the computerization of financial and investment transactions, facilitating electronic fund transfer and international stock market trading, has created opportunities and incentives for white-collar theft on a grander scale than was possible in the past. This was evident, for instance, in a 1986 Wall Street insider-trading scandal, in which speculator Ivan F. Boesky made more than $50 million on illegal stock market trades based on inside information received from former investment banker Dennis B. Levine.

Similarly, the expansion, diversification, and growing profitability of drug trafficking have provided opportunities and incentives for the emergence and growth of new organized criminal groups and enterprises. Recognizing this, the President's Commission on Organized Crime stated that "This Commission has found drug trafficking to be the most widespread and lucrative organized crime activity in the United States."[1] In fact, it could be argued that the illicit drug trade is the fastest growing and most profitable industry in the United States, if not the world. The global drug trade may bring in up to $500 billion a year and the American market—the world's biggest illegal drug market—produces annual revenues of at least $100 billion, more than twice the amount spent for all criminal and civil justice services by all levels of government. The size and pervasiveness of the illegal drug industry, and the criminality associated with it, have created new types of organized crime cartels that are so wealthy and powerful that they seem almost impervious to conventional methods of interdiction and control.

These huge profits from drugs and other organized crime enterprises have contributed to another major problem: that of money laundering. To finance additional drug inventories, pay their employees, and enjoy a lavish life, drug traffickers need to get their cash out of the country and convert it into a form that will disguise its

illegal origin. Thus, growing amounts are sent out in bulk packages or by wire transfers from U.S. banks to foreign accounts in places with strict bank secrecy laws, such as Panama, Paraguay, and Hong Kong. Stopping this flow of illegal funds through laundering collection centers like Miami, New York City, and Los Angeles has become an increasingly critical problem for the U.S. Treasury Department and U.S. Customs Service, as well as for criminal justice officials. Although the recent suspension of banking activities in Panama, caused by the Federal indictments of General Manuel Noriega, may have temporarily suspended laundering activities in that country, few experts feel this impact will be long lasting. Some more permanent and comprehensive solutions will be necessary if drug traders and other criminals are to be deprived of the income from their illegal enterprises.

It is clear from these recent examples that insider trading, narcotics trafficking, and money laundering; and such equally serious white-collar and organized criminal activities as labor racketeering, illegal toxic waste disposal, bid rigging, and public corruption pose special challenges for criminal justice officials charged with their prevention and control. First, because of the greater profitability of many of these offenses beyond that of other types of serious crimes, many white-collar and organized crime offenders have virtually unlimited financial resources to employ in evading or corrupting law enforcement efforts to control their activities. At the same time, these greater criminal benefits require correspondingly greater risks of criminal justice detection, arrest, conviction, and sanctions for deterrence to be effective. Second, because they often involve continuing patterns of criminal activity rather than representing merely discrete incidents of crime commission, white-collar and organized crimes may require special operational planning to develop innovative, proactive strategies for their detection, prevention, and control. And finally because of the complexity and sophistication of many of these offenses, the coordinated efforts of a wide range of technical specialists and criminal justice agencies are often essential for their effective investigation and prosecution.

For all of these reasons, then, it is essential that priority attention be given to white-collar and organized crime in order to improve our current understanding of and response to these major national problems and prevent their further escalation.

Scope

Over the past years, the National Institute of Justice has supported a substantial program of research addressing these and other critical white-collar and organized crime problems.

White-collar crime

White-collar crime projects have highlighted issues of detection, proactive prevention strategies, and coordination of skills and agencies to combat offenses against government, private businesses and industries, and individual consumers.

For example, research on fraud and abuse in Federal benefit programs suggested methods for improving the detection and investigation of these crimes as well as strategies for preventing them more effectively.[2]

Crimes against businesses have been addressed in a number of Institute projects. For example, research on employee theft led to the recommendation of a proactive preventive approach involving a well-articulated policy against theft, publicized sanctions, and sympathetic treatment of employees as a potentially effective means for reducing these white-collar offenses.[3] Other business-oriented studies examined strategies for preventing price-fixing and bid-rigging offenses more effectively and for better detecting them when they do occur.[4]

Among studies addressing crimes against consumers, research has assessed the effectiveness of local economic crime units in assisting individual victims. Features identified as contributing to successful operations included an organizational independence of these units within the prosecutor's office and a continuing coordination between investigative and prosecutorial staff in developing cases.[5]

More recently, research on money laundering examined the enforcement strategies employed by experienced Federal-level investigators and prosecutors and adapted them to provide guidelines for State and local officials consistent with their particular needs and resources.[6] For example, since 1984, the FBI has used money-laundering investigation as a major tool in its investigative arsenal against drug trafficking cartels, and this Federal expertise can contribute to State and local law enforcement effectiveness in investigations of local-level traffickers, who often launder their illegal profits close to home so their "clean" cash will be more easily accessible.

The Institute has also just completed in-house research on the theft of trade secrets from high-technology industries, a white-collar crime that can affect the competitive position of a victimized company both nationally and internationally. This study found that almost half of its sample of high technology companies had been victims of such thefts and that many of these had been victimized multiple times. Most frequently stolen were research and development data and information on new technology, generally by offenders inside the company.[7]

Organized crime

The Institute has also supported an extensive program of organized crime research, directed toward the improvement of law enforcement detection, prevention and control. In one such study, researchers found that illegal bookmaking and numbers operations in New York City followed the same basic principles of marketing and economics as legitimate business enterprises, creating special opportunities for law enforcement detection and intervention and for the imposition of regulatory controls.[8] For example, findings showed that the need to advertise their goods and services to potential customers made these gambling operations vulnerable to law enforcement detection and that the need to keep

records of payments received and owed created a "paper trail" that could provide evidence for successful prosecution.

Other studies have used this business and marketing model to suggest strategies for detecting and controlling organized crime corruption of legitimate industries as well.[9] For example, a study of the waste disposal industry in Long Island found it to be dominated by an organized crime-controlled cartel that allotted territory to each cartel member and prevented other businesses from competing for their customers. Therefore, regulatory and financial remedies were suggested to facilitate new (noncartel) business entry into the market and thus reopen it to competition.[10] Underscoring the utility of NIJ research, New York City officials have recently announced plans to implement these study recommendations in an effort to remove corruption from the industry and restore its legitimate financial opportunities.

More recently, the Institute sponsored a 1986 symposium of experts in organized crime control policy, practice, and research to discuss critical enforcement problems requiring research attention.[11] Among the many issues discussed, symposium participants noted that important advances had been made in Federal legislation and law enforcement operations and stressed the need for expanding these and for adapting them to State and local problems and resources. In addition, they expressed the need for a more precise assessment of the size of organized criminal groups, activities, and profits, especially difficult to quantify because of the covert and deceptive nature of their operations. Also recommended was research utilizing the growing body of public record information as an important source of data for studying the structure and parasitic nature of all types of existing organized criminal groups, their business enterprises, and their methods of operation and for evaluating the effectiveness of current strategies for organized crime detection, investigation, prosecution, and sanctioning. Responding to symposium recommendations, a current NIJ study is using court indictment records and other public data to "profile" the patterns of activities engaged in by different types of organized crime business enterprises in an effort to help guide future investigations and prosecutions of similar syndicate operations.[12] Another current Institute study addresses one of the most serious enforcement problems discussed at the symposium—control of drug trafficking—by seeking to develop strategies to incapacitate narcotics wholesalers.[13]

Most recently, the Institute has funded research on another critical law enforcement problem—racketeer-dominated or -influenced labor unions. The seriousness of this problem was underscored by the President's Commission on Organized Crime, which reported that labor racketeering has enabled organized crime to "control segments of entire economic markets and . . . distort the cost of doing business . . . through theft, extortion, burglary, price fixing, fraud, and restraint of trade."[14] Despite attempts to combat labor racketeering through the conviction and incarceration of corrupt officials, certain unions have remained under

syndicate control. Recently, in an innovative use of the RICO statute to achieve a more effective and permanent solution to the problem, the organized crime-dominated Teamsters Local 560 in New Jersey was placed in trusteeship by the court. NIJ is conducting a case study of this court-imposed RICO trusteeship in order to monitor its implementation and assess its effectiveness as a strategy for eliminating racketeer corruption from the union.[15] The findings of this research will be invaluable to criminal justice and labor officials in their efforts to restore democracy to other, similarly corrupted local unions and to the Department of Justice in its efforts to use this trusteeship strategy to combat organized crime domination of the Teamsters Union nationwide.

Focus of this program

This program announcement requests proposals that will build on the advances made by previous research to develop new, more effective approaches to white-collar and organized crime prevention and control. The ultimate goals of the program are to reduce victimization and decrease the costs of these complex corruptive crimes to individuals, businesses, the criminal justice system, and society as a whole.

To permit a wide range of research ideas, broad definitions are adopted for this program. "White-collar crime" proposals may address any of the various illegal forms of deception, concealment, or breach of trust engaged in for purposes of financial or personal gain. "Organized crime" studies may focus on the entire range of legal and illegal business enterprises engaged in by traditional syndicates such as Cosa Nostra, or by any of the more recently emerging organized criminal groups, such as Asian racketeering organizations, Latin American and other drug trafficking cartels, and violent motorcycle and prison gangs. All proposals should have as a major objective, however, the advancement of our state of knowledge and understanding about white-collar or organized crime in order to contribute to the development of effective legislative, criminal justice, regulatory, administrative, or private sector strategies for prevention and control, especially at the State and local levels.

The following topic areas, while not intended to be exclusive, identify some issues of particular concern.

White-collar crime

Based on the findings of previous studies and on the results of an Institute-sponsored colloquium designed to identify fruitful directions for future policy-relevant research,[16] some white-collar crime issues of particular interest are detailed below.

Improved prevention and control of white-collar crime require a better understanding of the conditions that may facilitate or constrain the commission of these offenses, such as the extent of computerization, the types and levels of management controls and customer surveillance, and the degree of commitment to accepted standards of professional ethics. Vulnerability studies may be used

to identify which factors influence white-collar criminal activities in various types of situations. For example, attention could be given to identifying situational differences associated with the occurrence or nonoccurrence of such crimes as computer-aided theft and business or insurance fraud in order to design the kinds of interventions that will be most likely to prevent these crimes from taking place. Research on environmental and market conditions that arrest or promote the development of white-collar criminal activities could also contribute to effective prevention strategy design.

Another important need is for research on alternative types of remedies for controlling various kinds of white-collar offenses. Studies might focus on the effectiveness of such criminal, civil, and regulatory remedies as incarceration; monetary fines; victim restitution; civil suits, injunctions, and orders of divestment; license revocation; and aggressive performance code inspection. Proposals might also examine investigative and prosecutorial strategies contributing to successful case convictions, such as those employed in the recent cases against stock market insider trading in New York. The impacts of other law enforcement policies, such as those establishing special targeting priorities or minimum crime severity thresholds for determining case selection, might be studied as well. Of special importance is research that promotes the effective employment of a variety of remedies as part of a multistrategy approach to white-collar crime control, since this is considered a major weakness in current responses to the problem.

Issues related to the prevention and deterrence of white-collar crime also merit significant research attention. For example, proposals might examine the relative effectiveness of alternative strategies to reduce the opportunities for offenses to occur or to increase the risk or severity of sanctions. The former might include strategies which businesses and institutions can employ to prevent their victimization. The latter might include the range of criminal sanctions that can be imposed as well as the use of extra-legal mechanisms such as licensing, professional, and corporate self-policing, or the enforcement of business and professional association codes of ethics. Research aimed at the identification and testing of strategies to reinforce noncriminal behavior is also encouraged. The aim of all of these studies should be to develop policies and strategies that reduce white-collar crime victimization by more effectively preventing the occurrence of such offenses.

Also of particular interest are studies focusing on computer crime, in which computer technology is either targeted directly or is utilized as a means for illegally acquiring possession of money, property, or information. As society becomes increasingly dependent on computers in carrying out its economic, administrative, social, and scientific functions, new opportunities for crime have been created and new types of criminals have emerged to take advantage of them. This has created a critical need for research to improve law enforcement skills and strategies for detecting and investigating these offenses, to develop more effective legislative and prosecutive remedies for

sanctioning offenders, and to suggest innovative private sector approaches for preventing crime victimization.

Organized crime

Based on the 1986 NIJ symposium recommendations and on the findings of other organized crime studies, applicants might consider research addressing the following objectives:

- To help jurisdictions effectively target enforcement efforts by identifying reliable direct and indirect measures to detect the presence, types, and levels of organized crime activity. Such measures can be important in guiding criminal justice policy, allocating resources, and assessing the impact of particular law enforcement initiatives.

- To increase criminal justice capabilities for proactive enforcement operations by developing and promoting the adoption of effective intelligence data collection and analysis. Research might address how intelligence gathering can be accomplished with the limited resources available to State and local agencies or how intelligence data can contribute to successful interventions.

- To improve organized crime enforcement operations by developing and promoting the adoption of (a) investigative strategies involving increased interagency, interlevel, and interspecialist coordination; or (b) prosecution and sanctioning strategies involving increased use of Federal and State RICO statutes and their asset forfeiture provisions. Of special importance are strategies for achieving these objectives within the limited budgetary and manpower resources available to state and local agencies.

- To help broaden organized crime enforcement efforts beyond their traditional Cosa Nostra syndicate targets to include the wide range of organized criminal groups which have emerged more recently, such as Asian racketeering organizations, Latin American and other ethnic or racial drug cartels, violent motorcycle and prison gangs, and other less established criminal syndicates. More comprehensive targeting of criminal activities is also needed, going beyond the traditional law enforcement focus on illegal racketeering enterprises to include the infiltration and corruption of legitimate industries and institutions by organized criminal groups. Of special interest is research aimed at the development of strategies designed to respond to the specific features and vulnerabilities of particular criminal groups and enterprises.

- To help combat one of the most serious current criminal justice and social problems—drug abuse—by increasing the state of knowledge about major drug trafficking groups and operations and by developing strategies for improved detection, interdiction, and control. Not only are these organized criminal syndicates responsible for the "supply side" of the drug abuse problem and all of the social dysfunctions it produces, but they corrupt legitimate institutions and undermine public respect for government and law. Yet the wealth and power of these groups and their sophisticated organizational resources make them particularly resistant to law enforcement controls, creating a need for special research attention.

Deadlines and further information

Proposals must contain a clear statement of the problem to be addressed and clear definitions of the key research variables. Applicants must also provide detailed descriptions of their proposed research designs, including their data sources, data collection methods, and analysis plans.

Ten (10) copies of *fully executed proposals* should be sent to:

Research Program on White-Collar and Organized Crime
National Institute of Justice
633 Indiana Avenue NW.
Washington, D.C. 20531

Completed proposals must be received at the National Institute of Justice no later than 5 p.m. on the dates specified for each cycle. This program's first cycle deadline is January 6, 1989. The second cycle is May 5, 1989. Extensions will not be granted.

Applicants are encouraged to contact the Institute to discuss topic viability or proposal content before submitting their proposals. To obtain further information, potential applicants may contact Lois Mock at 202–724–7684.

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11. Herbert Edelhertz, ed., *Major Issues in Organized Crime Control: Symposium Proceedings*, National Institute of Justice, September 1987.

12. Grant No. 87–IJ–CX–0053—A Study of Organized Crime Business Activities and Their Implications for Law Enforcement, Northwest Policy Study Center.

13. Grant No. 86–IJ–CX–0079—Research on Strategies To Incapacitate Narcotics Wholesalers, Police Executive Research Forum.

14. President's Commission on Organized Crime, Report to the President and the Attorney General, *The Edge: Organized Crime, Business, and Labor Unions*, March 1986: viii.

15. Grant No. 88–IJ–CX–0012—Teamsters Local 560: A Case Study of a Court-Imposed RICO Trusteeship, Harvard University, John F. Kennedy School of Government.

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Research Program Plan Announcements

[redacted]

Center for Crime Control Research

The dramatic rise in the level of crime in American society during the last 30 years has stimulated an unprecedented level of public and professional concern about what official actions can be taken to cope with this serious problem. A recent Roper survey found that crime and drugs were the most frequently mentioned societal problems facing the nation—outdistancing inflation, unemployment, and nuclear disarmament. Informed by research, our understanding of the effects of crime is that it is not only a discrete transaction between victim and aggressor but also has effects on entire neighborhoods, communities, and regions.

The FBI crime reports for 1987 indicate that 13.5 million index crimes were reported to the police, a 2 percent increase over the previous year. Victimization has also created a fear index measured by investment in personal, corporate, and community security. The year 1987 saw the United States reach an all-time high in the number of individuals imprisoned (581,609). However, the rate of imprisonment per crime in 1987 is only about half that reported in 1960. The annual cost to the taxpayer for this level of imprisonment exceeds $7.5 billion. Yet the costs of crime may far exceed the costs of imprisonment.

The dilemma posed by simultaneously high levels of crime and imprisonment emphasizes what has always been a central policy question in criminal justice: "What is the effect of punishment on crime?" The idea that punishment (or the threat of punishment) will be effective in controlling criminal behavior is certainly one of the fundamental characteristics of any organized society.

Policymakers in America today devote increasing attention to the specific issues of crime and punishment even as purse strings are tightened. Laws are passed and tax dollars spent on programs that clearly aim at enhancing general deterrence through the threat of stiffer penalties for certain types of crimes. Police departments and prosecutors have established programs aimed directly at increasing the chances of incapacitating high rate offenders during their most criminally active years. These actions have not taken place in the absence of research. In fact, criminal justice policymakers have, in the past 20 years, become increasingly responsive to social science research findings in developing new crime control policies.

But virtually everywhere there are major concerns about prison population size and prison costs. Yet 70 percent of all convicted felons are not sentenced to prison but are on some form of release, usually into communities already experiencing significant crime. Determining which offenders to incapacitate has become a primary issue of policy debate. Recent evidence from California suggests that 65 percent of felony probationers are rearrested at least once within 2 years of their release.[1]

The State correction systems are overstressed. Judges are forced to choose between prison and virtually unfettered release. This system has no intermediate torque: we are maybe both too harsh and too lenient. A series of progressively more

serious intermediate punishments that incapacitate the offender, protect the community, and rehabilitate are needed. Understanding which offenders pose the greatest risk is critical as is the formulation of new methods of social control that provide more adequate protection to society. And naturally this leads to questions regarding the crime control effectiveness of intermediate punishments that protect future victims and redirect the energies and motivations of offenders.

The broad mandate of this program is to support an accumulation of sound research on the crime control effectiveness of official sanctions. The findings from this research would serve as a scientific basis for the continued evolution of informed and more effective policies aimed at the reduction of crime.

Scope

Public preferences in the past decade have shifted away from the ideal of rehabilitative treatment. This shift coincided with an emerging scientific consensus acknowledging that most rehabilitation programs lacked scientific evidence of effectiveness for most offenders.[2] Although rehabilitation has not been accomplished in most cases, the Institute continues to support research on a wide range of options to improve selection and classification, and reduce recidivism. Research advances of the past decade have also generated evidence that crime rates are, in fact, responsive to more certain and more severe sanctions. In a 1978 review of the literature, a panel of the National Academy of Sciences concluded that, in contrast to the beliefs of many criminologists of the 1950's and 1960's, the available scientific evidence "favors a proposition supporting deterrence more than it favors one asserting that deterrence is absent."[3]

This rather guarded statement reflects the fact that scientific support for deterrence and incapacitation as mechanisms of crime control is still limited with respect to the *size* and *direction* of the effects that can reasonably be expected from alternative sanctions. Research on State and local aggregate crime rates since the Academy's 1978 report has explored the deterrent effects of sanctions for a variety of index offenses as well as specific crimes such as bank robbery and drunk driving. In addition, policy experiments have attributed 50 percent reductions in repeat violence in spouse assault cases to the specific deterrent effects of arrest.

In 1978 the National Academy of Sciences found that crime control effects from incapacitation were "plausible" but without a firm empirical base.[4] In a 1986 report the Academy reviewed the extensive research of the past decade and estimated that incarceration policies designed to incapacitate high rate offenders offer crime reduction effects up to 10 percent, with no increase in prison populations.[5]

All of these estimates are based on assumptions and estimation procedures for determining rates of participation in crime, the age at which criminal careers start and stop, the rate of offending over time, the seriousness and variety of of-

fenses, the number of offenders per crime, and the nature of the social networks among the criminally active. Most of these assumptions and all of these estimation procedures are open to question, further testing, and refinement. This program is designed to support research that addresses one or more of these aspects of criminal careers.[6] But we are interested as well in supporting those using other approaches to increase our understanding of the effects of official sanctions on crime. The following list of project classes, while not intended to be complete in its coverage, is intended to illustrate the scope and variety of the program's interests:

Crime career research—Directed toward a thorough understanding of the participation in, rate of criminal activity, seriousness and length of criminal careers. This sort of research seeks to determine the amount of crime and crime costs prevented by incarceration and to obtain a better grasp on how incarceration and/or other sanctions retard or accelerate the development of offenders' subsequent criminal behavior. Studies in this category have in the past estimated the annual crime commission rates of offenders and examined one or several crime types, the duration of their criminal careers, the number of crimes committed during a career and, most important for this program, the impact of incarceration or other sanctions on careers in crime.

Neighborhood and community-level studies—Building on an extensive research tradition that has estimated such things as the relative gains in crime reduction generated by different sanction levels. National time series and State-level analyses have spawned efforts that use county-, city-, and neighborhood-level data to estimate the crime control effects of sanction policies. Of course, research conducted at a more local level is also hampered by data and measurement problems.[7] A more local focus also raises such issues as whether some communities have a "crime rate ceiling." When an active offender is arrested and incapacitated, crime drops. However, it seems to return in a few days to prior levels. Why? Currently efforts are underway to estimate the deterrent effects of arrest on crime at the neighborhood level and the magnitude of the effects of official sanctions (conceptualized as jail incarceration risk and police aggressiveness in patrols) on serious criminal offending in 171 American cities.

Perceptions research—Investigating why the assessment of sanction risk or sanction cost differs greatly among various subpopulations and whether the criminal justice systems can communicate sanction threats more effectively. How is the risk of punishment understood by those engaged in crime? Is the imposition of sanctions too diluted or too harsh to alter the desire to commit illegal acts? Past efforts have involved longitudinal studies of adolescents to determine the sequencing of criminal behavior and perceptions of sanction risks. A current effort is attempting to better understand how offenders decide to end their criminal careers. Related NIJ-supported research is planned for this area under the Ethnographies of Property Offenders Program.

Measuring crime—Has been a perennial topic for researchers interested in crime and criminal justice. The accurate interpretation of official crime statistics, victim surveys, and self-reports of crime is vital to improving the understanding of criminal careers. The importance of improving techniques to measure self-reports of crime was emphasized again recently in a reanalysis of a 1978 RAND Corporation survey of jail and prison inmates.[8] An important contribution of this RAND survey is the highlighting of the variability of the rates at which individual offenders commit crimes. The estimates of these rates, especially for burglary and robbery, are dependent upon researcher decisions about the interpretation of ambiguous survey responses. There is also a problem of veracity in the self-reports of crime. It is apparent from the RAND survey that some respondents overreported and some respondents underreported the frequency with which they committed criminal acts. This program includes support for research on *improved measures of criminality* in the context of understanding criminal careers and the control of crime.

The variety of crime types and research disciplines represented in this program should not obscure the highly focused program theme—the effectiveness of *official* sanctions on crime. Crime control effects derived from sources such as private protection or demographic variations are of interest to this program only insofar as they offer plausible and testable competing explanations for the observed reductions associated with official sanctions. Proposal authors should keep this objective in mind. All proposals should, therefore, describe clearly not only the research project for which funding is sought but also precisely how this research might benefit the continued development of criminal justice policy.

Deadlines and further information

Ten (10) copies of *fully executed proposals* should be sent to:

Criminal Careers and the Control of Crime Program
National Institute of Justice
633 Indiana Avenue NW., Room 900
Washington, DC 20531

The deadline for this program will be February 24, 1989. Completed proposals must be received at the National Institute of Justice no later than 5 p.m., on that date. Extensions of this deadline will not be permitted.

To obtain further information about this solicitation, researchers may write to Winifred Reed, Program Manager, Criminal Careers and the Control of Crime, at the above address, or contact her at 202–724–7636. Potential applicants who may want to clarify the appropriateness of a specific research idea for funding under this program are encouraged to call Mrs. Reed to discuss it with her before undertaking the considerable effort required to prepare a proposal that would be competitive.

References and recent related grants

1. *Prison Versus Probation in California*, Joan Petersilia, Susan Turner, with Joyce Peterson, Santa Monica, California, The RAND Corporation, 1986.

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3. *Deterrence and Incapacitation: Estimating the Effects of Criminal Sanctions on Crime Rates*, ed. A. Blumstein, J. Cohen, and D. Nagin, National Academy of Sciences, Washington, D.C., 1978: 7.

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5. *Criminal Careers and "Career Criminals"* (2 volumes), ed. A. Blumstein, J. Cohen, J. Roth, and C. Visher, National Academy of Sciences, Washington, D.C., 1986.

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86–IJ–CX–0047—Termination of Criminal Careers, Carnegie-Mellon University.

86–IJ–CX–0060—Effects of Local Sanctions on Serious Criminal Offenders, University of Illinois.

86–IJ–CX–0068—Perceptual Deterrence and Desistance from Crime, University of Tennessee.

86–IJ–CX–0076—Modeling the Deterrence Process at a Neighborhood Level, University of Oklahoma.

87–IJ–CX–0022—Criminal Careers and Crime Control, Northwestern University.

87–IJ–CX–0057—Focusing on High Risk Parolees. An Experiment to Reduce Commitments to the Texas Department of Corrections, The RAND Corporation.

87–IJ–CX–0060—Assessing the Effects of Imprisonment: A Randomized Experiment in Marion County, Oregon, The RAND Corporation.

Drugs, alcohol, and crime

Drug-related crime and the pervasive problems that drug and alcohol abuse bring are among the most serious challenges facing our Nation and the world today. Americans rank them at the top of their personal concerns and give them highest priorities for governmental action.

As part of our Nation's team contributing to the fight against these scourges, the National Institute of Justice places research in support of our war against drugs as its highest priority. Developing improved knowledge of the factors affecting drug and alcohol abuse and their impacts on criminal behaviors, combined with more sensitive and effective tools to detect drug-using offenders and make this information available in release decisions to lessen risk to the community, contributes to the development of more effective public policies and criminal justice interventions aimed at reducing drug demand and control of drug-related crime.

Although the news media are filled with stories of how drugs are affecting us all, we are developing improved tools to meet the challenges of increasingly sophisticated and violent drug traffickers. NIJ studies have shown that much of the violent, predatory, and property crime in many of our major cities is committed by drug-abusing offenders. Among arrestees tested in cities across the Nation by the NIJ-developed Drug Use Forecasting (DUF) system, from half to over three-quarters showed evidence of illegal drug consumption within the preceding 2 to 3 days. Other NIJ-supported studies have shown the accelerative and intensifying effects of drug usage, indicating that the offense rates of heroin-abusing criminals tend to increase about 4 to 6 times during periods of use over the same offenders' rates during periods when not addicted. Urine tests have shown that drug-positive offenders typically have pretrial re-arrest rates about 50 percent higher than those who are drug negative, with multiple-drug users presenting the greatest risks to the community.

The problem of drug abuse has spread through all segments of our society. Drug-related crime and violence have essentially taken over some neighborhoods in many of our major cities. High proportions of our youth admit to using a variety of drugs, from alcohol and marijuana to hallucinogens and narcotics. Although there are encouraging signs from the most recent surveys of high school students indicating the numbers of users of illicit drugs in the general population have stabilized or slightly decreased, these trends do not appear to be reflected in criminally active populations. Objective diagnostic tests on arrestees indicate not only that their rates of drug usage are much higher than in the general population, but that in some areas their usage of such drugs as cocaine is increasing.

The picture is thus one of continual change. New forms of illicit drugs, such as the synthetic analogs ("designer drugs"), have appeared and present an entirely new range of legal, educational, enforcement, and treatment challenges. The highly potent form of cocaine, "crack," has spread rapidly across the Nation and affected all segments of our society from prominent sport stars to

inner-city youth, bringing with it a tripling of the number of drug-related emergency cases in hospitals since 1981.

As a result of all these factors, the annual costs of drug- and alcohol-related problems are staggering and increasing. Taking into account the social and economic impact of crime, criminal justice costs, decreased productivity, treatment, and lost lives, 1985 estimates placed these costs at $46.9 billion and $89.5 billion respectively.

In addition to being tremendously complex and costly, drug problems and possible solutions to them are also highly controversial. Proposals for dealing with them range from "get tough" and "crackdowns" on the one hand to "decriminalization" and "legalization" on the other, and from "supply reduction" aimed at traffickers to "demand reduction" aimed at users. To support the development and evaluation of soundly based public policies, it is imperative that we develop the best possible analytic approaches for assessing how different drug control strategies will interact to affect all aspects of drug abuse and drug-related crime.

Research plays a vital role in these efforts. Through it we have come a long way toward revealing how drugs and alcohol interact with other complex social, legal, psychological, and pharmacological factors to influence the behavior of substance-abusing offenders. But we also know that illicit drugs serve as powerful stimuli for criminal behavior among those who *do not use* these drugs themselves—through the economic incentives related to their production and distribution. We thus recognize that we do not have "a drug problem," but have many types of drug problems, with differing underlying causal mechanisms. To provide an adequate picture of their interrelated effects, we must be able to deal with crimes related both to drug consumption and to drug trafficking.

Scope

This program has dual objectives:

(1) increasing our understanding of the nature and extent of drug- and alcohol-related crimes, and the factors that affect them, and

(2) improving our abilities to apply such knowledge to the control of drug and alcohol abuse and related criminality, and thus reduce their social and economic costs and number of victims.

The following examples illustrate the types of policy-relevant research issues of particular interest to this program:

Improving the effectiveness of drug supply control efforts and evaluation of local interventions

Research is needed to assess the changing nature of local drug trafficking systems and to contribute to the development and testing of a wide range of strategies to control traffickers' activities. NIJ-supported studies have indicated that enforcement efforts aimed at street drug markets may produce significant reductions in drug trafficking and drug-related crimes, such as burglary and robbery. But it is clear that the problem is too large and

complex for law enforcement efforts alone to do the whole job. Other NIJ-supported studies are examining community-based strategies that aim to bring about closer cooperation between the police and citizens in identifying and eliminating local drug trafficking.

The potential roles of the criminal justice system in helping to reduce and eliminate illicit drug markets by raising costs and risks of arrest, cutting profits, and reducing access between dealers and customers are of major interest. Studies might address such issues as: a) developing the optimal mix of efforts directed toward dealers and mid- and high-level traffickers, b) assessing the effectiveness of enforcement strategies aimed at sellers (buy-and-bust) and at users, c) enhancing present methods of detection and investigation, d) and integrating initiatives that cut across the criminal justice system and other civilian and governmental agencies, such as coordinated initiatives involving police, courts, regulatory agencies, tax authorities, customs officials, and financial institutions. Street dealers and small-scale suppliers should be a focus of research to determine the effects of disruption at this level on local markets and mid- and large-scale drug distribution systems.

Enhancing the criminal justice system's role in reducing the demand for illicit drugs

A policy of concentrating enforcement efforts on major dealers and effectively ignoring the users of illicit drugs has been argued to be a de facto decriminalization of use. Our Government and a broad cross-section of the public have called for fundamental change in these policies so as to make illicit drug use unacceptable either in the workplace or socially. Reducing the demand for drugs, especially those shown to be closely linked to crime, such as narcotics, cocaine, and PCP, is essential if we are to succeed in reversing the present levels of drug abuse and related crime.

This solicitation encourages research efforts that will explore ways to reduce the demand for drugs, both among criminal offenders and the general public, through the criminal justice system's sanctions and cooperative efforts with the public. A wide range of approaches is possible, such as: a) enhancing the effectiveness of general and specific deterrence through increased emphasis on detection by urinalysis or other objective drug tests, b) assessment of the relative results of alternative sanctions, such as license revocations, asset or vehicle forfeitures, and other alternatives to incarceration, and c) the effectiveness of community-based prevention and intervention efforts aimed at youths or high-risk groups in reducing both drug abuse and drug-related crime.

Recent NIJ studies relating to these issues, in addition to the studies cited above using urine-based tests to monitor drug usage among offenders, have included: a) an investigation of the potential to enhance current urine-based detection capabilities to permit detection over wider time periods by analysis of hair samples, b) the application of urine tests to monitoring of juvenile offenders in a detention center, c) evaluating the effectiveness of

intensive supervision during probation in reducing drug usage and crime, and d) assessing the deterrent impact of law enforcement efforts on cocaine sellers' perceptions of risk and decisions to continue or stop dealing.

Improving our abilities to measure the nature and extent of drug abuse and drug-related crime

NIJ and other research sources have revealed the close associations between drug abuse and crime. They have also shown that not only are many offenders active drug abusers, but that reduction of their drug usage is typically associated with reduction of their criminal activity and that treatment can help achieve these reductions in drug abuse and criminality.

The drug scene is also highly dynamic, and changes are continually occurring that bring new substances or forms of drugs into prominence (e.g., synthetic analogs, "crack" cocaine), with associated changes in market conditions and usage patterns. Recently these have seen the spread of the potent form of cocaine ("crack") with changes in the marketing form and reduction of unit price, so that many more youths are becoming involved both as users and sellers, accompanied by escalating gang-related violence associated with this drug trafficking. In the faces of such shifts, efforts are continually needed to update and improve our approaches to monitoring the nature of local drug conditions and assess the changing sizes and characteristics of various substance-abusing populations, so as to support our efforts to combat these developments more effectively.

NIJ's DUF system is now expanding to many cities across the Nation to provide timely and sensitive local assistance as an Early Warning System focused on the drug-using offender population, plus providing feedback to local jurisdictions advising them not only of local trends, but also how well their local strategies are working. Accurate and sensitive measurements are, of course, of fundamental importance in detecting events, revealing relations, and evaluating changes and impacts of interventions. DUF has shown that, in addition to the value of objective, timely data on drug status for individual case decisions, such as urinalysis of arrestees and parole/probationers, this information can help local jurisdictions allocate resources for interdiction, treatment, and prevention efforts. Recent NIJ activities in these areas have also included studies to a) develop mathematical models for estimating the prevalence of cocaine usage at State and local levels and b) improve criteria for reporting of drug-related homicides, based on a conceptual framework encompassing drug consumption or known drug involvement by either the victim or offender and evidence of drugs or drug-related contraband at the scene of the crime. The FBI's Uniform Crime Reports (UCR) has also been redesigned to obtain more drug-related data within criminal incidents than has heretofore been possible.

Data acquisition, however, is only half the problem; data analysis and interpretation are the other. We have made significant advances in our abilities to measure and estimate how many crimes of various types are drug- or alcohol-related. But the

nature of the roles these substances played in contributing to the occurrence or severity of the criminal acts, or how much reduction in various types of crime can be obtained with a given reduction in drug usage, are still inadequate for our policy information needs. Further studies are needed to improve our abilities to monitor and assess how different types of drugs are contributing to different types of crime and how best to integrate the information available from various indicators for criminal justice policy issues.

Patterns of drug/alcohol use and relations to development and cessation of patterns of delinquency and crime

Research has indicated that drug and alcohol abuse affects both the nature and intensity of patterns of crime in youth and adults. But risk factors alone do not explain why some individuals develop these patterns while others do not. Efforts at prevention require further research to clarify these processes of onset, intensification, and cessation of drug abuse and drug-related problems. They also need to address such questions as how and why many individuals in high-risk groups do not develop drug-related problems. For those individuals who are at especially high risk, methods for identifying them and encouraging prevention through abstinence might be developed.

Treatment and the potential roles of the criminal justice system in breaking these drug-crime linkages are high priority. Improving our understanding of individual and environmental characteristics and the effects of life events and interventions relating to prevention and cessation of drug usage would contribute toward more effective policies aimed at the reduction of demand for illicit drugs and a corresponding reduction of drug-related crimes.

In addition to the NIJ studies of urine monitoring of arrestees, the DUF system, and the study of youthful offenders in detention facilities, other recent NIJ studies related to these issues have focused on: a) the characteristics of drug-abusing inner-city youths and their social support systems compared to those who are not drug abusers, b) patterns of violence in families with histories of drug and alcohol abuse, and c) the nature and extent of psychopathology among drug- and alcohol-abusing offenders.

Deadlines and further information

Ten (10) copies of *fully executed proposals* should be sent to:

Drugs and Crime Research Program
National Institute of Justice
633 Indiana Avenue NW., Room 900
Washington, DC 20531

This program will offer two opportunities to submit proposals this year. Completed proposals must be received at the National Institute of Justice no later than 5 p.m. January 25, 1989, to be considered for the first cycle, and no later than 5 p.m. May 3, 1989, for the second cycle. Extensions of these deadlines will not be permitted.

To obtain further information about this solicitation, researchers may write to Dr. Bernard Gropper, Program Manager, Drugs and Crime Research Program, at the above address, or contact him at 202–724–7631. Potential applicants who may want to clarify the appropriateness of a specific research idea for funding under this program are encouraged to call Dr. Gropper to discuss it with him before undertaking the considerable effort required to prepare a proposal that would be competitive.

References and recent related grants

1. "Attorney General announces NIJ Drug Use Forecasting system," in *NIJ Reports* 208, March-April 1988.

2. "Jailing drunk drivers: impact on the criminal justice system," in *NIJ Reports* 192, July 1985.

3. *Report to the Nation*, Second Edition, Bureau of Justice Statistics, 1988.

4. M.D. Anglin and G. Speckart, "Narcotics use and crime: a multisample, multimethod analysis," *Criminology* 26, 2 (May 1988): 197–233.

5. J.A. Carver, "Controlling pretrial drug use and reducing risk through testing," *NIJ Reports* 199, September-October 1986: 2–7.

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7. M.G. Graham, "Controlling drug abuse and crime: a research update," in *NIJ Reports* 202, March-April 1987: 2–7.

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10. E.D. Wish and B.D. Johnson, "The impact of substance abuse on criminal careers," in *Criminal Careers and "Career Criminals,"* V.2: 52–88, Washington, D.C., National Academy Press, 1986.

88–IJ–CX–0051—Crime and Minimum Legal Drinking Age Laws, Mid-America Research, Inc.

88–IJ–CX–0040—Assessing the Links Among Drugs, Alcohol and Campus Crime: Nationwide Campus Survey, Towson State University.

88–IJ–CX–0037—Drug Use: Its Role in Predatory and Violent Offending, Carnegie-Mellon University.

88–IJ–CX–0036—Criminal Careers of Narcotic Addict Offenders, University of California at Los Angeles.

88–IJ–CX–0035—Validation of the Drug Use Forecasting (DUF) System, Institute for Social Analysis.

88–IJ–CX–0034—Cost and Consequences of Crack Abatement, San Diego Association of Governments.

88–IJ–CX–0032—Neighborhood Reporting of Drug Crimes, American Bar Association.

88–IJ–CX–0016—Marijuana as a Cash Crop: Study of U.S. Illicit Drug Growers, Illinois State University.

88–IJ–CX–0015—Controlling Street Drug Markets: Community-Oriented Approaches (Birmingham, Alabama); 87–IJ–CX–0058 (Oakland, California), Police Foundation.

87–IJ–CX–0064—Changing Patterns of Drug Abuse and Criminality Among Crack Cocaine Users, New York City Criminal Justice Agency.

87–IJ–CX–0059—Breaking the Drug-Crime Connection, RAND Corporation.

87–IJ–CX–0050—Patterns of Drug Abuse in Inner Cities, Urban Institute.

87–IJ–CX–0046—Drug-Related Crime Analyses: Homicide (Phase 2), Narcotic and Drug Research, Inc.

87–IJ–CX–0043—Improving Methods of Measuring the Incidence and Prevalence of Drug Abuse at State and Local Levels, Lazar Institute.

87–IJ–CX–0042—Cocaine Prevalence Estimation, University of California at Los Angeles.

87–IJ–CX–0036—Indirect Criminal Justice Pressures on Cocaine Sellers, Scientific Analysis Corp.

87–IJ–CX–0035—Assessment of Multiple Drug Use Indicators, San Diego Association of Governments.

87–IJ–CX–0033—Drug Use and Psychopathology as Predictors of Criminality, Northwestern Memorial Hospital.

86–IJ–CX–0084—Urine Tests of Arrestees to Identify Hidden Drug Abusers, Toborg Associates.

86–IJ–CX–0069—Optimization of Legal Supervision for Chronic Addict Offenders, University of California at Los Angeles.

86–J–CX–0050—Urine Testing of Juvenile Detainees to Identify High-Risk Youths, Phase 2, University of South Florida.

86–IJ–CX–0035—Alcohol and Drug Aspects of Inter- and Intra-generational Domestic Violence, Research Institute on Alcoholism.

86–IJ–CX–0029—Detection and Evaluation of Substance Abuse Histories Through Hair Analysis, Ianus Foundation.

Forensic science and criminal justice technology

Forensic science and technology have proven to be invaluable tools for criminal justice and will become even more important as we move into the 21st Century. The changing concept of scientific evidence makes such physical items as fingerprints, ballistics, fibers, hair, body fluids, voiceprints, and genes play an increasingly important role in police investigations and prosecutions. Continuing innovations in forensics and technology have helped provide credible evidence in criminal investigations with a resulting increase in convictions. They also have categorically cleared innocent suspects of a crime. In addition, such advances have supplemented and improved many operations and procedures in the various segments of the system. Research is essential in ensuring that criminal justice agencies and organizations use the most up-to-date technology and resources, both to *investigate* crime and to *prevent* it.

There exists a strong potential for channeling advances by the scientific community toward the improvement of the entire criminal justice system. Research findings are used to prepare evidence scientifically to pass rigorous admissibility tests in accordance with the procedure known as the Frye Rule. In addition, Institute-sponsored projects have led to dramatic results in many areas including forensics, patrol allocation, computer-aided transcription, artificial intelligence for investigating murder and burglary, and the protection of law enforcement personnel in the line of duty.

The criminal justice system continually benefits and will do so into the future from new Institute research on scientific evidence. Blood-alcohol evidence, for example, has now become the major factor in DWI convictions. Also, medical research into the genetic markers present in human body fluids—blood, semen, perspiration, saliva—has significantly improved the ability to identify perpetrators of violent crime. Using techniques developed in Great Britain, the Institute pioneered the widespread American use of electrophoresis whereby even minuscule samples of physical evidence can be analyzed to provide invaluable information in criminal investigations. With electrophoresis, a tiny fleck of an assailant's blood found at a crime scene can help lead police to the attacker or narrow the field of suspects.

New recombinant DNA science, under investigation by the Institute, is expected to produce even more advances in blood "fingerprinting." Voice analysis research is also supported by the Institute and is expected to play a significant role in law enforcement responses to terrorism, telephone threats, wiretaps, and other law enforcement evidence collection operations against organized crime. New research in hair analysis also indicates that information on an individual's history of drug use for a period of several months can be found in human hair, a significant advance over current urine testing approaches.

Technology also plays an important role in criminal justice since it can be used to improve the criminal justice system's productivity. Advances in computer technology both in applying existing

technology and developing new ones, have improved a wide variety of agency operations. Police patrol patterns, court scheduling, electronic monitoring of offenders, and communication and record keeping are enhanced by computers. Now in several jurisdictions "paperless" systems are working effectively.

Another breakthrough demonstrating the impact of close cooperation between science and law enforcement was the development of soft body armor for police officers.

These few examples illustrate how scientific and technological progress can be focused to improve our ability to control crime. The National Institute of Justice is committed to funding research that will facilitate the use of scientific innovation throughout the criminal justice system to save lives, improve crime clearance rates, reduce apprehension and conviction times, and deter future crime by increasing the likelihood of detection.

Scope

The Institute seeks proposals for research in the physical and biological sciences and their technologies, addressing developments of equipment or techniques that will aid in crime prevention, crime detection, investigation, and adjudication. Presented below are a number of broad topical areas where research efforts may be beneficial. It is not intended that the areas mentioned here should limit areas of potential research but suggest, rather, that they illustrate the kinds of research that may improve the efficiency and effectiveness of criminal justice operations.

Forensic sciences

The forensic sciences have provided one of the most promising avenues for growth and improvement in the area of crime investigation. Advances in the techniques and equipment used to study evidentiary materials have literally transformed the modern ability to solve and study crime.

Several years ago the Institute sponsored what has become a fundamental resource in laboratories across the country—the *Sourcebook of Forensic Serology, Immunology, and Biochemistry* by Robert E. Gaensslen, Ph.D. Other projects include the identification of assailants using hair lost during struggles with victims, the conclusive examination of gunshot residue on hands and clothing using electron microscopes, the study of human speech patterns resulting in technology capable of identifying individual "voiceprints," and the study of cell structures of partially digested vegetables found in the stomach of homicide victims to assist in establishing the time of death.

The Institute for several years has supported the application of DNA techniques in forensic applications. Dr. George Sensabaugh at the University of California, Berkeley, has with some success studied the problem of size of evidence limitations in current systems as well as the use of radiological isotope labeling of probes. Dr. Carol Jenny at the University of Washington has researched the use of additional probes for forensic applications and the use of current techniques in case work. Drs. Robert Gaensslen and Henry Lee are examining the application of DNA techniques to identify skeletonized

remains, an important issue both to law enforcement and to such agencies as the Army. Although the "fingerprint" technique may be limited in use to a small number of public and private laboratories, it will involve additional study in new and uniform methods for collecting, storing, and recording the results of DNA analyses. The impact on the investigative and prosecutorial processes has yet to be estimated.

Research proposals in forensics can be of wide and varied nature. The Institute solicits projects that aim to develop equipment or techniques that enhance forensic capabilities. In addition, studies that propose evaluation and improvement of the use of forensic evidence are welcome.

Criminal justice technology

The Institute actively considers proposals for technological advances with potential application to areas of the criminal justice system. In short, proposals in the areas of science and technology are not limited by focus or specific subject matters, but are judged according to their potential utility in addressing today's criminal justice needs in particular, as they would affect reductions in all forms of violent crime.

For example, the Institute has long been involved in the search for a viable, nonlethal alternative to the police officer's most distinctive weapon—the handgun. The Attorney General of the United States has held an international conference on this subject. Since a decision on the part of an officer to use a gun can often mean serious injury or even death to one of the parties involved, the use of weapons is restricted by legal precedents and local policy. The availability of a less-than-lethal alternative weapon would better equip law enforcement to handle encounters with armed suspects, hostage takers, drug addicts and other mentally ill suspects, as well as fleeing felons.

Many new weapons, such as plastic guns, plastique explosives, and the like are capable of being transported through current detection barriers and safeguards. Research proposals for new tools which improve detection capabilities for both traditional and nontraditional weaponry are of interest. A breakthrough in this area offers the potential for greatly reducing violence by detecting such weapons on persons entering protected areas, such as assassins, hostage takers, skyjackers, and terrorists in general.

Special attention should also be directed to technology that facilitates tracing organized crime transactions. For example research on the detection of illegal drugs being transported in various fashions through otherwise legitimate channels and improved means of identifying the offenders involved are of interest.

Institute research addressing the use of computer technology includes efforts to enhance police planning and management as well as both reactive and proactive police operations. For example, the PISTOL project in Chicago has developed a paperless police information system using lap and personal computer technology. Computer mapping of crime patterns at specific locations is being used to help police be more responsive to specific

crime problems. Computer-based patrol allocation models have also been developed with Institute support and at present computer-based "expert" systems are being developed and tested in Baltimore County as a means of enhancing police investigation and apprehension.

Research primarily focused on the development of criminal justice technology should be particularly innovative, address a problem of national interest, and offer unique capabilities to a broad spectrum of criminal justice operational elements.

Deadlines and further information

Ten (10) copies of *fully executed proposals* should be sent to:

Research Program on Forensic and
Criminal Justice Technology
National Institute of Justice
633 Indiana Avenue NW.
Washington, D.C. 20531

Completed proposals must be received at the National Institute of Justice no later than 5 p.m. on March 15, 1989. Extensions will not be granted.

Applicants are encouraged to contact the Institute before submitting proposals to discuss topic viability or proposal content. To obtain further information, potential applicants may contact Dr. Richard M. Rau at 202–724–7631.

Recent related grants

87–IJ–CX–0061—Use of Polymeric Trace Evidence in Forensic Investigations, Research Foundation of City University of New York, John Jay College.

87–IJ–CX–0041—Identification of Human Remains from Blood Groups in Bones, University of New Haven.

87–IJ–CX–0040—Forensic Aspects of DNA Typing, University of Washington.

87–IJ–CX–0030—Timed Fluorescence Imaging for Detecting Finger Prints, Texas Tech University.

Offender classification and prediction of criminal behavior

Crime continues to be one of the most significant problems in our society. As a consequence of the high rates of crime and the rising demand by society that the perpetrators of these crimes be punished, increasing numbers of persons are being convicted and sentenced to jail or prison. In 1987, the number of incarcerated offenders exceeded one-half million. This means that criminal justice officials are being confronted with a number of pressing problems having to do with managing these people in limited jail and prison facilities and then releasing these people back into society. Prison riots such as those in Attica, New York, or in New Mexico cannot be tolerated. Victimization of some inmates by other predatory-type inmates is unacceptable. Victimization of citizens by persons on pretrial release or on probation/parole must be eliminated.

Issues as to the precise amount and types of punishment for incarcerated offenders are still being debated, but questions as to the conditions of confinement, and risk to the public, correctional staff, and other inmates are management decisions which must and can be improved through research. Although rehabilitation does not appear to work for most offenders, approximately one-third of those released from prisons are not rearrested. Improved classification and prediction systems may permit us to develop procedures to identify the best risks for release and the poorest risks for continued incarceration. NIJ research to date has been very promising in its examination of the methodological bases to improve classification and prediction and in developing and testing new classification and prediction systems for both specialized offenders (such as rapists) and those offenders who commit a variety of crimes many of which are serious. These research findings impact directly upon criminal justice policies pertaining to sentencing, probation and parole, and jail and prison management.

This program is designed to support the accumulation of a body of research on the classification of offenders and the prediction of future dangerousness. Research results from this program have had and will continue to have direct policy impacts upon the following criminal justice practices: jail and prison construction needs; pretrial release decisions; priority prosecution decisions; sentencing decisions; the management of existing jails and prisons; the management of probation and parole; the timing and conditions of parole; and in some jurisdictions, the selection of cases for early release. As can be seen, classification and prediction research cuts across all the boundaries of the criminal justice system and deals with most of the critical problems facing criminal justice administrators daily. In addition to these criminal justice system benefits, improved classification and prediction procedures will save millions of dollars as well as reduce victimization and the fear of crime.

Scope

The recent book, *Prediction and Classification: Criminal Justice Decisionmaking*, edited by Don Gottfredson and Michael Tonry, is a significant product of this research program. It brings together much

of what is known about key topics of offender classification and prediction. It includes a careful discussion of the legal and ethical issues involved in the implementation of classification and prediction systems in applied settings. Many of the methodological problems of classification and prediction are examined.

One of the major contributors to the jail crowding problem is the growth in recent years of the pretrial population. The solution is not simply to identify those who can safely be released. Research must also identify the conditions for release such as remaining drug free, participating in a drug rehabilitation program, participating in a job training program, etc. Currently the Wisconsin Correctional Service (87–IJ–CX–0047) is developing a prediction model to determine which pretrial offenders are most likely to return for trial if released and, at the same time, are least likely to commit new offenses. The study will cover misdemeanant cases as well as felony cases and will include a consideration of several types of release options including release on recognizance (ROR), supervision, and the provision of social services (such as enrollment in a drug rehabilitation program).

Under NIJ sponsorship, Brandeis University (84–IJ–CX–0055) recently completed a research project which evaluated criteria that could be or were being used by prosecutors to select the most serious (that is, the most violent, persistent, and high-rate) criminals for priority prosecution. The research identified several criteria useful for this purpose. The full results of this study are being detailed in a future Institute report.

The University of Washington (86–IJ–CX–0072) is concluding a research project to develop and validate a classification system for incoming prisoners. A variety of tests are being considered for inclusion in this system including the Minnesota Multiphasic (MMPI), an IQ test, a suicide potential test, and several other screening devices. Concurrent with this research is a project by the University of Cincinnati (85–IJ–CX–0063) to compare for cost and effectiveness five different psychological classification systems for offenders. Florida State University (84–IJ–CX–0016) is finishing its final report, which evaluated the utility of the Megargee MMPI-based classification system for mentally disturbed and older offender populations. The Massachusetts Treatment Center and Brandeis University (85–IJ–CX–0072) have developed and validated a classification system for child molesters. Currently this research team is validating a classification system that has been developed for rapists. This research has demonstrated that both child molesters and rapists are composed of several subtypes each of which have their own unique but identifiable characteristics and have varying prognoses for treatment and release. Using these classification systems, criminal justice officials are better able to make decisions as to which sex offenders to keep incarcerated for further treatment or for community safety and which can be safely released and under what kinds of supervision.

Carnegie-Mellon University (86–IJ–CX–0039) is conducting research to develop a methodology to permit correctional agencies to compare existing prediction scales when these agencies are faced with questions about early release. These scales include the "Rand Scale", Salient Factor Score, Iowa Risk Assessment, etc. This methodology will enable an organization to compare the scales with each other using several measures of predictive effectiveness using their own offender population characteristics.

While substantial research progress has been and is continuing to be made, it is clear that additional research that builds upon the above studies is still necessary. The next section describes specific research topics of concern for fiscal year 1989. Obviously, this listing is intended to be illustrative rather than exhaustive.

Development of improved analytic methods for classification or prediction of criminal behavior

Recent research has shown considerable interest in the adaptation of improved statistical tools and mathematical models for assessment of risks that are important in criminal justice decisions. The predictive power of most of these methods has yet to be demonstrated in thoroughgoing empirical tests. This program has an interest in supporting further development of innovative methods. All applications must, however, include tests that would be indicative of the results that would be obtained if the methodology would be routinely applied as a prediction device or a classification system to inform criminal justice decisions.

Development and testing of new or existing classification systems

There are a variety of classification schemes being used in the Nation's corrections systems. Some of them are based essentially upon the expert opinion of experienced criminal justice personnel. Other, more elaborate systems find their long history of development in criminological applications of psychometric testing. These latter systems especially were often developed for populations different from the ones to which they are now being applied (e.g., juvenile vs. adult offenders) or for system objectives that are not at this time the dominating concern of system management (e.g., identification of individual rehabilitation vs. the need to maintain order and control in a crowded institution). Generally research findings to date support the position that objective or actuarially based predictions are better than clinically based predictions. Further research may be of help in revising and refining objective classification systems through a thorough assessment of their ability to assign each individual to a unique subclass and the power of the resulting classification to assess risk potentials that are of major concern to managers.

However it should be noted that this program does not encourage applications that are routine validations of existing classification and prediction systems for a particular jurisdiction. Research projects undertaken for NIJ must be innovative, be experimental (if feasible and appropriate), and bear results that are generalizable to other jurisdictions.

Criminal career forecasting

Over the last decade or so there has emerged a body of research literature that attempts to identify classes of offenders that are significantly different in their patterns and rates of offending and that tries to infer from the sequence of events in criminal histories what are the significant determinants of individual criminal career paths.

The scientific goal and ultimately the policy significance of this line of research is obviously to achieve an understanding of how an offender's criminal career is likely to continue to evolve, given what is known at a particular point about his history of deviance.

Applicants who wish to pursue some aspect of this field of inquiry are again strongly encouraged to incorporate an empirical test of predictive power into their research design if this is at all possible.

Deadlines and further information

Ten copies of *fully executed proposals* should be sent to:

Offender Classification and Prediction of Criminal Behavior Program
National Institute of Justice
633 Indiana Avenue NW., Room 900
Washington, D.C. 20531

There will be two opportunities to submit proposals this year. Completed proposals must be received at the National Institute of Justice no later than 5 p.m., January 18, 1989, to be considered for the first cycle, and 5 p.m., April 19, 1989, for the second. Extensions of these deadlines will not be permitted.

To obtain further information about this solicitation, researchers may write to Dr. Richard S. Laymon, Program Manager, Offender Classification and Prediction of Criminal Behavior Program, at the above address, or contact him at 202–724–7633.

References and related grants

1. D. M. Gottfredson and M. Tonry, ed., *Prediction and Classification: Criminal Justice Decisionmaking*, Chicago, University of Chicago Press, 1987.

2. N. Morris and M. Miller, "Predictions of Dangerousness in the Criminal Law," *Research in Brief*, 1987, NCJ 104599.

3. A. Blumstein et al., *Criminal Careers and "Career Criminals,"* two volumes, Washington, D.C., National Academy Press, 1986.

4. J. Chaiken and M. Chaiken, *Varieties of Criminal Behavior*, Santa Monica, California, RAND Corporation, 1982.

5. D. P. Farrington and R. Tarling, *Prediction in Criminology*, Albany, New York, State University of New York Press, 1985.

6. D. C. Gibbons, "Offender typologies—two decades later," *British Journal of Psychology* 15, 2 (1975): 140–156.

7. R. Hood and R. Sparks, *Key Issues in Criminology*, New York, McGraw-Hill Book Co., 1975.

8. E. I. Megargee and M. J. Bohn, Jr., *Classifying Criminal Offenders*, Beverly Hills, California, Sage Publications, 1979.

9. J. Monahan, *Clinical Prediction of Violent Behavior*, Rockville, Maryland, U.S. Department of Health and Human Services, 1981.

87–IJ–CX–0045—Patterns of Drug Use and Their Relation to Improving Prediction of Patterns of Delinquency and Crime, University of Iowa.

87–IJ–CX–0047—Predicting Pretrial Success: A Comparison of Techniques, Wisconsin Correctional Service.

87–IJ–CX–0048—Improving Self-Report Methodology for Obtaining More Reliable Offending Rate Data, Colorado Division of Criminal Justice.

86–IJ–CX–0052—Violent Offenders in Two Birth Cohorts: Patterns in Violent and Serious Nonviolent Recidivism and Their Implications for Public Policy, University of Pennsylvania.

86–IJ–CX–0048—Classification, Prediction and Criminal Justice Policy, Justice Policy Research Corporation.

86–IJ–CX–0039—Improved Techniques for Assessing the Accuracy of Recidivism Prediction Scales, Carnegie-Mellon University.

85–IJ–CX–0072—Developmental Factors Associated with Sexual Dangerousness, Brandeis University and the Massachusetts Treatment Center at Bridgewater.

85–IJ–CX–0063—Psychological Classification of the Adult, Male Prison Inmate, University of Cincinnati.

Violent criminal behavior

Violent criminal behavior is one of the most frightening experiences in the evolution of human communities. It can destroy the future. Our social responsibility is to control these despicable acts.

The National Institute of Justice has demonstrated some policies that can reduce future violence. However, more research is needed. According to the 1987 Uniform Crime Report a violent crime—a murder, a rape, a robbery, or an aggravated assault—occurred on average every 21 seconds. The rate of violent crimes per 100,000 population has increased sharply in the last quarter century: 159.0 (1960) and 609.7 (1987). A recent report by Langan and Innes[1] estimated that 6 million Americans are targets of violent crime annually. Recently, the influence of illegal drugs upon the origin of violent criminal behavior has become of concern as well as the effect of such drugs in escalating less serious crimes into violent crimes. Violent crimes not only bring suffering and hardship to victims and their families, but also impact upon the quality of life of everyone in our society.

According to the FBI, 47 percent of all homicides are caused by arguments; 55 percent of all homicides involve people who know each other and 25 percent involve family members. The evidence on rape and assault from victim surveys indicates a similar pattern: 40 percent of all rapes and assaults involve acquaintances or family members. Of great concern is violence directed at children. According to one study,[2] over 1 million children have been beaten by a parent during childhood. There is even evidence that there is a significant amount of violence being directed at elderly parents by their adult children.

Domestic violence may be the most common violent crime and the most difficult to control. Courts are unable to do much to protect family member victims from future victimizations. While statistics show that violence occurs most often among persons acquainted with one another, one of the most significant fears is of being attacked by a stranger, either at home or elsewhere. This pervasiveness and fear of violent crime make it one of the most important priorities within the criminal justice system.

One of the major goals of the Violent Criminal Behavior Program is to obtain a better understanding of the factors essential to preventing and reducing the potential for criminal violence within an individual and large social groups like gangs. Another goal of significant interest to the program is the development of interventions to prevent violence, particularly prospective interventions. The successful implementation of such programs in communities throughout the country should have a significant impact in reducing violent crimes. Finally, the program is concerned with the assessment of the risk of future violence—an assessment that enters into some of the most difficult decisions that must be made in criminal justice.

Described briefly below are some of the research projects that have been funded under this program.

Florida State University (88–IJ–CX–0006) is implementing a

study to identify the psychological, physical, and cultural/social indicators that differentiate violent offenders, even with similar profiles, from nonviolent offenders. The determination of these factors will be of critical assistance in isolating those factors in individuals which produce the potential for violence.

A major issue is the relation between mental illness and violent criminal behavior. Prior research results are contradictory. Monahan and Steadman[3] have concluded that the correlates of crime among the mentally ill appear to be the same as the correlates of crime among any other group. They further state that correlates of mental disorder among criminal offenders appear to be the same as the correlates of mental illness among other groups. However, Collins and Schalenger[4] have concluded that psychiatric disorders among male felons are much higher than in the general population. The issues of violence and mental disorder must be investigated to resolve these conflicting reports and to develop information upon which policy can be made. Two projects are currently addressing this problem. The Research Triangle Institute (86–IJ–CX–0034), using more than 1,000 prison inmates, is studying the relation between mental disorders and psychiatric symptoms and violent criminal behavior. The Social Science Research Institute of the University of California (87–IJ–CX–0063), using a birth cohort of over 64,000 men and women for which there is over 40 years of data, is examining the relation between arrest information and mental hospital admissions and discharges.

Indiana University (86–IJ–CX–0033) is conducting a study to determine whether violent criminal behavior is transmitted between generations within families. Official records from over 2,000 cases of child abuse of young children will be correlated against subsequent criminal records of these same people as adults. This group will be compared with a matched sample of children who were not abused. Preliminary results[5] conclude that less than one-fifth of adults who were abused as children perpetrate abuse upon their own children, and that in prospective studies using children that were neglected or abused, the incidence of subsequent delinquency was about 20 per cent.

Listed below are examples of some of the areas of interest to the program this year. This listing is intended only to be suggestive of the program's scope.

Assaults

While we have detailed data on homicide, the Uniform Crime Reports provide only aggregate data on offenses other than homicide. Research that increases knowledge at the interface between medical and criminal justice information on personal violence might help to fill this gap. These data are important not only because most criminal violence falls into this area, but also because correct interpretation of the homicide data requires knowledge of the incidence of other types of violence. The difference between homicide and assault in many cases may simply be an artifact of the quality of medical service, emergency service, or the availability of a weapon.

Intergenerational transmission of violence

Findings from studies on the question of whether abuse and neglect lead to later violent criminal behavior are contradictory. While the current NIJ research suggests a modest amount of transmission, other studies have produced opposite findings.

This program is interested in research examining the consequences of experiencing and observing violent abuse and severe neglect, with an emphasis upon addressing causality questions.

Questions of interest include: In what context(s) do the long-term effects of abuse, neglect, or both occur? For example, what are the consequences of abuse and neglect in the larger context of the caretaking environment? Is early sexual abuse an antecedent to later crimes? Does the perpetrator of the abuse make a difference in terms of the consequences of early abusive experiences? What are the long-term consequences of early sexual victimization and how do they differ in males and females?

Violence prevention

Research applications are invited which investigate criminal justice, educational, mental health, and social service violence prevention and control interventions. For example, applicants may propose systematic field observation of experimental treatments used by police, prosecutors, and the courts in dealing with violent offenders. Studies of the etiology of hate violence (violence directed against an individual because of an intrinsic characteristic such as race, religion, ethnicity, national origin, regional affiliation, membership in groups such as unions, or sexual orientation) are of particular concern.

Deadlines and further information

Ten copies of *fully executed proposals* should be sent to:

Violent Criminal Behavior Program
National Institute of Justice
633 Indiana Avenue NW., Room 900
Washington, DC 20531

Completed proposals must be received at the National Institute of Justice no later than 5 p.m. February 1, 1989, to be considered for the first cycle, and 5 p.m. April 25, 1989, for the second cycle. Extensions of these deadlines will not be permitted.

Applicants are encouraged to contact the Institute before submitting proposals to discuss topic viability or proposal content. To obtain further information about this solicitation, researchers may write to Dr. Richard M. Rau, Program Manager, Violent Criminal Behavior Program, at the above address, or telephone him at 202–724–7631.

References and recent related grants

1. P. A. Langan and C. A. Innes, *Risks of Violent Crime*, Bureau of Justice Statistics *Special Reports*, May 1985.

2. Cathy Spatz Widom, *Does Violence Beget Violence? A Critical Examination of the Literature*, National Institute of Justice, unpublished, 1987.

3. J. Monahan and H. Steadman, "Crime and mental disorder: An epidemiological approach," *Crime and Justice* 4, ed. M. Tonry and N. Morris, Chicago, University of Chicago Press, 1983.

4. J. Collins and W. Schalenger, "Prevalence of Psychiatric Disorder Among Admissions to Prison," paper presented to the American Society of Criminology, November 1983.

5. Widom, n. 2 above.

88–IJ–CX–0006—A Longitudinal Study of Violent Criminal Behavior, Florida State University.

88–IJ–CX–0002—Stakes and Risk in the Assessment of Violent Criminal Behavior, Justice Policy Research Corporation.

87–IJ–CX–0063—Crime and Mental Illness in a Birth Cohort, University of Southern California Social Science Research Institute.

86–IJ–CX–0034—Mental Disorder and Violent Behavior, Research Triangle Institute.

86–IJ–CX–0033—Child Abuse, Neglect, and Violent Behavior, Indiana University at Bloomington.

Visiting Fellowships

The Visiting Fellowship Program offers criminal justice practitioners and researchers a real opportunity to undertake independent research on policy-relevant issues in the criminal justice area. It is a path for the investigation of new approaches to resolving personally nagging operational issues as well as becoming involved in a national program on criminal justice research directed at meeting the needs of Federal, State, and local agencies.

Selection of the Visiting Fellows is based on a competitive review and evaluation of proposals for independent study. Recipients of the awards are located at the National Institute of Justice for a period of 6 to 18 months. While at the Institute the Fellows have the opportunity to participate in the development of plans for criminal justice research programs of national scope, interact with Institute staff and other Visiting Fellows, and present seminars on their own research. The program provides for full financial as well as logistical support and access to the abundant criminal justice resources in and around the Nation's Capital.

The research of interest to the Institute specifically includes those topics described under each program in this volume, though proposals addressing other topics are also welcome. Applicants are advised, however, that their proposals must meet the criteria specified in the section titled, "Application Procedures and Requirements of Award Recipients."

The Institute's most recent fellows are prime illustrations of the broad range of experience, purpose, and background the National Institute of Justice seeks in candidates for the program.

The collection and enforcement of fines is a matter of concern in light of attempts to increase the use of monetary sanctions as a viable sentencing alternative. Dr. George Cole, during the period of his Visiting Fellowship, will undertake a study to identify, investigate, and describe innovative techniques and procedures in operations at the Federal, State, and local levels to increase the effectiveness of fines collection and enforcement. The major product resulting from this effort will be a manual suitable for publication and distribution to judges, court administrators, and criminal justice planners who have a need for such information.

Because police-prosecutor coordination appears at times to be fraught with problems, Lt. John Buchanan II of the Phoenix Police Department will examine the current status of police-prosecutor team efforts that are being conducted in various jurisdictions. His study will assess the effectiveness of such teams, where and how they are utilized, their impact on case outcomes, and the potential for expansion of such joint operations into other worthwhile areas.

Scope

The Visiting Fellows Programs solicits proposals from two groups of criminal justice professionals, emphasizing the nexus between research and practice. Based upon their backgrounds and credentials, candidates are classified as:

1) Practitioners—Middle- and upper-level criminal justice personnel who are usually employees of State or local government. The candidates bring with them an active knowledge of how the local communities function, of policy development and command structures of the justice system, and of innovations occurring at the local level. They include representatives from the police, the courts, corrections facilities, probation agencies, and victims services, and show a potential for future leadership.

2) Researchers—Personnel with broad and extensive criminal justice research experience. Candidates are usually drawn from colleges and universities and they usually propose research from which the findings could improve either the assumptions on which criminal justice operations are based or actual field operations.

Selection for the program is competitive. It is based on the background and experience of the individual candidate as well as the quality and viability of the proposed project. Submissions to the Visiting Fellows program will be reviewed by panels based upon the applicant's status as either a practitioner or a researcher. The following types of proposals are not eligible for consideration.

1) Action-oriented programs where research plays only a minor role (actual provision of training or treatment programs, etc.),

2) Part-time research efforts,

3) Projects from students seeking support for graduate or undergraduate work, and

4) Projects from former NIJ Visiting Fellows.

Successful candidates are invited to join the National Institute of Justice staff in Washington, D.C. There they enjoy the opportunity to interact with the Institute staff, national leaders in their field, and other Visiting Fellows as well as the opportunity to develop, carry out, and present their projects. Eighty percent (80%) of the fellowship period must be spent at the Institute.

Requirements for the program:

- Projects must begin between January 1989 and December 1989. They can run from 6 to 18 months.

- NIJ funds will cover Fellow's salary, fringe benefits, reasonable relocation costs, travel essential to the project, supplementary expenses (some special equipment, etc.), and office (telephone, supplies, furniture, etc.).

- Awards can be made in two ways: 1) to individuals, and 2) through IPA (intergovernmental personnel action) to the recipient's parent facility. To be eligible for an IPA appointment, candidate must be an official of State or local government or a nonprofit criminal justice organization certified as eligible by the U.S. Office of Personnel Management.

Deadlines and further information

Funding for this program has been tentatively set at $250,000, which will typically support three to five fellowships. Application and selection procedures for the Visiting Fellows Program are largely the same as those for other grant programs.

Ten (10) copies of *fully executed proposals* should be sent to:

Visiting Fellowships Program
National Institute of Justice
633 Indiana Avenue NW.
Washington, DC 20531

Completed proposals must be received at the National Institute of Justice no later than 5 p.m. on February 17, 1989. Extensions will not be granted.

Applicants are encouraged to contact the Institute before submitting proposals to discuss topic viability or proposal content. To obtain further information, potential applicants may contact Dr. Richard M. Rau at 202–724–7631.

Recent fellows and research endeavors

Lt. Michael McCampbell, Sheriff's Department, Arlington County, Virginia. Evaluation of Police Recruit Training Programs.

Charles DeWitt, Santa Clara, California, Planner–County Official. Prison Construction Initiative Which Identifies Cost-Effective Means for Building New Facilities.

Dr. Barry Ruback, Professor of Psychology, Georgia State University. Study of How Victims of Violent Crimes Make Decisions To Involve the Criminal Justice System or Not.

Dr. Patricia Mayhew, Home Office Research and Planning Unit, London, England. Examined National Crime Surveys To Compare Burglary Statistics for the United States, Canada, and England.

Dr. Garry Mendez, National Urban League, New York, N.Y. Examination of Crime Prevention in African-American Communities Using Ethnicity, Culture, and History Values as a Basis.

Dr. Charles H. Logan, University of Connecticut. Prepared a Monograph to Clarify the Issues on Both Sides of the Debate Over Privatization in Corrections.

Kenneth R. Freeman, Assistant District Attorney for Los Angeles. A Study to Find More Effective Ways To Prevent Victims of Child Sexual Abuse.

Dr. George Cole, University of Connecticut. Collection and Enforcement of Fines: Issues and Innovations.

Lt. John Buchanan II, Phoenix Police Department. Assessing the Current Status of Police-Prosecutor Team Efforts.

Dr. William McDonald, Georgetown University. Criminal Prosecution: Policy Choices in the Organization of the Accusatory and Adjudicative Processes.

Graduate Research Fellowships

The purpose of the Graduate Research Fellowship Program is to encourage scholars to undertake research in criminal justice or directly related fields and to develop a continuing and capable cadre of individuals who can conduct research as well as operations directed at resolving critical issues in the criminal justice environment.

The National Institute of Justice, under congressional mandate, has vigorously supported this program for the past 20 years by supporting graduate students at the critical dissertation stage of their academic careers. Through their sponsoring universities, doctoral students are awarded grants of up to $11,000 to support the completion of their dissertations. Dissertations resulting from this program have consistently demonstrated the potential for direct contributions to criminal justice policy and have advanced the body of knowledge concerning important criminal justice issues.

Research subjects which may be of interest cover as broad an area as the criminal justice world. If the proposed research appears to develop new knowledge, evaluate existing or proposed policies and practices, revise old information, eliminate myths, or even break new ground, it has the potential of impacting on current activities and, therefore, has merit. Naturally, there may be greater interest in topics that coincide with some that are suggested under the various program headings in other parts of this brochure, but there are, in fact, few limitations other than the research topic should be relevant to criminal justice. An examination of some of the fiscal year 1987 competitive winners demonstrates this point.

With the elimination of the old paraffin and nitre acid tests as valid techniques to identify gunshot residues, investigations have had to resort to rather involved procedures and use of limited and expensive equipment systems to establish the presence of gunshot residues. Edgard O. Espinoza of the University of California, Berkeley, has demonstrated through a thorough study of diphenylamine (a common gunpowder stabilizer) a potentially feasible, rapid, and inexpensive route to establish the presence of gunshot residues.

Domestic violence is a serious problem frequently involving assault, battery, and homicide. Empirical research into possible causal and maintaining factors of spouse abuse has been sparse, resulting in a lack of scientific information concerning the spouse abuser. Judith Lynn Johnson is exploring possible abuser-related factors involved in spouse abuse. Specifically, the variables of social isolation, familial insularity, perceived social support, alcohol abuse, and witnessing of parental violence within the abuser's family of origin will be explored and tested as predictors of spouse abuse. The potential of these five variables for discriminating abusers from a comparison group of nonabusers will also be examined. It is anticipated that the study will provide information concerning criminal justice intervention into spouse abuse, information concerning prevention and correction of spouse abuse, and direction for therapeutic intervention with spouse abusers.

Rosann Greenspan of the University of California, Berkeley, is examining the implementation of a special felony drug prosecution program (The Targeted Urban Crime Narcotics Task Force) in Alameda County, California. She will assess whether the program increases efficiency and effectiveness in prosecuting felony drug offense, particularly through inter-agency cooperation and coordination and innovative prosecution techniques. She will also consider the effects of the program on the normal course of prosecution and the criminal process in the county.

Scope

The Graduate Research Fellows program provides a limited number of fellowships which will be awarded to doctoral candidates through sponsoring universities. The awards are designed to support students engaged in the research and writing of a doctoral dissertation in the areas of crime, crime prevention, criminal behavior, or criminal justice. Prior to the grant award, applicants must have completed all degree requirements except for the internship (where required) and the research, writing, and defense of the dissertation. Applicants are advised, however, that their proposals must meet the criteria specified in the section titled, "Application Procedures and Requirements of Award Recipients."

Stipulations for the Graduate Research Fellowships:

• Fellowship awards are for one year or less. Time extensions may be granted for the delivery of the dissertation but no further funds will be awarded. These time extensions must be requested before the expiration of the original grant and require the receipt of all progress reports showing reasonable headway toward the objectives identified in the original application.

• The maximum amount of any one fellowship is $11,000. The grant may include the Fellow's stipend, allowances for certain dependents, and certain university fees, including continuing registration, library, and matriculation fees. Major project costs are also included; e.g., clerical assistance, special supplies, reproduction, necessary local and out-of-town travel (reimbursed at the University's rate), foreign travel (with prior Institute approval), and computer time.

• Stipends and allowances are determined as follows:

(1) The Fellow's stipend is a pro-rated award computed on the basis of $5,000 for full-time study for a 12-month period.

(2) Allowances for dependents are provided in addition to the Fellow's stipend. Allowance rates are shown below:

Dependent spouse.....$ 500/yr.
Dependent children.....
One child.....$ 500/yr.
Two children.....$ 800/yr.
Three or more children.....$1,000/yr.

The maximum amount allotted for the dependent allowance is $1,500.

These living supplements may be computed by either of two methods:

(1) Pro-rating of 12-month stipend. The total stipend plus any dependent allowance must be prorated for part-time study and/or periods of less than 12 months.

For example, the total stipend for a Fellow ($5,000) with a dependent spouse ($500) and one dependent child ($500) who spends three-fourths of his or her time writing the dissertation for 6 months of the year is computed as follows:

3/4 time x 1/2 year x $6,000 = $2,250

(2) Continuation of employer's pay rate. A Fellow who has been regularly employed in teaching or research by the university or a related research organization, and for whom the dissertation requires leave from employment, may be supported at the employer's established rate of pay for the proportion of time devoted to study up to a maximum award of $5,000. Dependent allowances can then be prorated and added as shown above.

- To be eligible to administer a Graduate Research Fellowship grant on behalf of a doctoral candidate, an institution must be fully accredited by one of the regional institutional accrediting commissions recognized by the U.S. Secretary of Education and the Council on Postsecondary Accreditation. Overhead costs are not allowed for this program.

Deadlines and further information

Funding for this program has been targeted at $150,000, which will typically support 10 to 17 Fellowships. With one exception, application and selection procedures for the Graduate Fellowship Program are largely the same as those for other grant programs. Instead of the 25-page project narrative required for other programs, Graduate Fellow applicants should submit a 10-page paper which addresses research objectives, hypotheses, and methodology; the appropriateness of the design to the issues raised; time schedules for major events of the study; and documentation to the effect that the needed cooperation from organizations will be forthcoming.

With this one exception, applicants should carefully follow all of the procedures outlined in the Application Procedures section on pages 1–7 of this booklet.

Ten (10) copies of *fully executed proposals* should be sent to:

Graduate Research Fellowships Program
National Institute of Justice
633 Indiana Avenue NW.
Washington, DC 20531

Completed proposals must be received at the National Institute of Justice no later than 5 p.m. on February 17, 1989. Extensions will not be granted.

Applicants are encouraged to contact the Institute before submitting proposals to discuss topic viability or proposal content.

To obtain further information, potential applicants may contact Dr. Richard S. Laymon or Mrs. Rosemary Murphy at the Institute. Telephone: 202–724–7635.

Recent related grants

87–IJ–CX–0028—Differential Association, Self and Delinquency, University of Wisconsin–Madison.

87–IJ–CX–0029—Effect of Sugar Ingestion in Juvenile Delinquency, University of Wisconsin–Madison.

87–IJ–CX–0031—Risk Factors Predicting Spouse Abuse, Loyola University of Chicago.

87–IJ–CX–0032—Occurrence of Diphenylamine or Derivatives in Gunshot Residues, University of California–Berkeley.

87–IJ–CX–0039—Crime Prevention Through Architectural Design, University of Michigan.

87–IJ–CX–0049—A Reanalysis and Critical Evaluation of the Minneapolis Domestic Violence Experiment, University of Maryland.

87–IJ–CX–0054—Determinants of Victimization: A Contextual Effects Analysis, University of Maryland.

Summer Research Fellowships

Over the last 20 years, the National Institute of Justice has funded numerous projects that have made significant contributions to our understanding of the operation of the criminal justice system. Many of these projects have undertaken costly and time-consuming extensive data collection efforts. The Institute's interest in these research data, however, does not end with the closing of the original work. The reexamination of the data generated by these projects is an important research tool that can produce innovative research findings long after the primary analysis has been published. In addition, secondary analysis can corroborate original findings and give greater confidence to research findings.

The Summer Research Fellowship program is aimed at the reanalysis of existing research data, particularly of data sets resulting from NIJ-sponsored research. Past Summer Fellowships have provided new insight into crime and criminal justice policy issues. For example, two sets of 1986 Fellows worked extensively with the data produced by the Newark-Houston "fear of crime" experiments. Their work went beyond the original projects by concentrating further on factors (e.g., citizen attitudes, neighborhood environment, etc.) which made the communal fear reduction efforts so successful in those two areas.

A 1987 Fellow reexamined a portion of the Vera Institute of Justice project on employment and crime. A central purpose of this fellowship was to better understand the choice process individuals engage in to decide whether to participate in crime, employment, or both. This was done by using a labor theoretic approach with rational choice models to investigate crime and work participation. The results of this analysis point to the notion that, at the margin, unemployment or working shortened periods is associated with increased participation in crime.

A 1988 Fellow plans to take a further look at data collected by the Indiana University Police Services Study on relationships between citizen participation in community crime control activities and neighborhood crime rates. The analysis will also examine the role of the police in encouraging these local crime prevention activities.

Scope

This program solicits proposals from researchers who are interested in reanalyzing existing machine-readable data sets to gain new insight or correct problems in original analyses. It is intended for both senior researchers, relatively new Ph.D.'s and those in between. Project hypotheses and appropriate data are the choice of the applicants. However, proposals to examine data sets originally generated under the auspices of the National Institute of Justice and released through the Criminal Justice Data Archive at the University of Michigan's Inter-University Consortium for Political and Social Research are of particular interest. Conversely, we do not encourage applications for individuals seeking to conduct further analyses on data they have collected.

A catalog of abstracts from all publicly archived data sets from NIJ-sponsored

research, *Data Resources of the National Institute of Justice* (3d Edition), is available free from the National Criminal Justice Reference Service. Studies based on other data sets will, of course, also be considered for funding under this program. In such cases, applicants need to make a special effort to describe in some detail the data for the proposed analyses.

It should be noted that candidates must plan to begin work after June 1, 1989. Final products are due no later than October 31, 1989. Unlike the Visiting Fellows Program, all work for Summer Fellowships is done at the researcher's home institution.

Deadline and further information

Funding for this program has been targeted at $50,000 which will typically support five awards. These awards will not be grants but small contracts. Therefore, application procedures for the Summer Research Fellowship program are different from those for other programs.

Candidates for this program should submit:

A) A proposal not to exceed 10 double-spaced pages. This paper should include: 1) the policy question to be addressed; 2) the hypotheses to be investigated; 3) the data set(s) to be employed; 4) the nature of the data analyses to be performed; 5) the potential policy implications; and 6) expected products of the research.

B) A detailed, one-page budget for salaries, supplies and computing costs, etc. not to exceed $10,000. Applicants should include the cost of one trip to present the results of this research at the annual meeting of the American Society of Criminology. This program is designed as summer support for individuals; the inclusion of institutional, indirect costs is strongly discouraged.

C) Resumes for key personnel including background, academic work, professional experience, and pertinent work and publications.

The standard grant application form 424 is *not* appropriate for this program.

Six (6) copies of *fully executed proposals* should be sent to:

Summer Research Fellowships Program
National Institute of Justice
633 Indiana Avenue NW.
Washington, DC 20531

Completed proposals must be received at the National Institute of Justice no later than 5 p.m. on February 3, 1989. Extensions will not be granted.

Applicants are encouraged to contact the Institute before submitting proposals to discuss topic viability or proposal content. To obtain further information, potential applicants may contact Ms. Winifred L. Reed at the Institute (telephone 202–724–7636).

Recent fellowships

Informal Social Control as a Deterrence to Juvenile Delinquency Among High School Students, Dong Soo Kim and Sook Ja Paik, Norfolk State University.

Homicide Circumstances 1976–1986: A Taxonomy Based on Supplementary Homicide Reports, Michael G. Maxfield, Indiana University.

Explaining Urban Crime Policies from 1948 to 1978: The Role of Public Opinion and the Press, David Pritchard, Indiana University.

Community Organization and Neighborhood Crime, Wesley G. Skogan, Northwestern University.

Applications of Sample Selection Methodology to Policy and Evaluation Research in Criminal Justice. Douglas A. Smith and Roger Jarjoura, University of Maryland.

Sources and Impact of Plea Negotiation Style, Douglas Thomson, University of Illinois at Chicago Circle.

Other programs of the National Institute of Justice

In addition to the research program announcements described on pages 11 to 81 above, the National Institute of Justice operates several other research and research support programs. Some of these, like the National Criminal Justice Reference Service, are ongoing programs. Other programs, like the research program on Criminal Justice Interdiction of Retail Drug Trafficking, are initiatives that will be announced in a separate publication.

Criminal Justice Interdiction of Retail Drug Trafficking

In every major U.S. city, the criminal justice system in general and the police in particular are devoting massive amounts of time and energy to cases of "street level" trafficking in illegal drugs. There is often a sense of frustration in this effort—a belief that the problem is so widespread in today's society that no realistically achievable level of drug law enforcement could have a noticeable effect on the ready availability of illegal drugs.

In fact, however, we know remarkably little about the effects that law enforcement has or could have on the retail drug trade. Knowledgeable police officials quite credibly assert that, at a micro level, the police have the capability of closing down drug selling operations at any given location. The dispute, of course, is whether this kind of success can have any effect on the retail drug industry *throughout* a jurisdiction. For each market shut down, does a new one almost inevitably spring up nearby? Are drug arrests on average anything more than a minor nuisance to dealers? Is drug selling such an attractive economic opportunity that arrests and convictions can have no real effect on recruitment of replacements?

The fact that questions like these exist suggests that the criminal justice system's struggle with the drug problem is going to be a long one. But it must be emphasized that they are *questions* and that our current state of knowledge is inadequate to assess how much of an impact an efficient and sustained law enforcement effort can make on the drug problem.

In addition to the invitation for proposals dealing with these research issues that is contained in this Program Plan under the Drugs, Alcohol and Crime Program, the National Institute plans, in fiscal year 1989, to announce and fund a new program dealing specifically with selected operational questions relating to "street level" drug law enforcement.

Crime and Justice research volumes

Since 1979, the National Institute of Justice has supported the production of original research and review articles in our publication series, *Crime and Justice*. This series is edited by Norval Morris and Michael Tonry and is published by the University of Chicago Press. *Crime and Justice* is designed to bridge the gaps among the various legal and scientific disciplines attentive to criminal justice policy issues and to summarize key research advances for policymakers, practitioners, and researchers.

The series produces an annual volume of essays written by leading scholars here and abroad on numerous, contemporary controversies facing the American criminal justice community, such as prison crowding and violent crime. In addition, the *Crime and Justice* series includes special volumes devoted to a single theme. Past thematic volumes have focused on communities and crime and the use of prediction and classification by criminal justice officials. Scheduled for publication in 1989 are volumes on family violence and drugs and crime, as well as the annual review of research.

Data Resources Program

The purpose of the National Institute of Justice's Data Resources Program is to facilitate the production of fully documented, machine-readable, NIJ-supported criminal justice research data sets for placement in a public data archive. This program obtains machine-readable data, codebooks, and other documentation as it is delivered to NIJ and reviews it for accuracy, completeness, and clarity. In addition the Data Resources Program promotes access to and use of these data.

Since 1984, the Data Resources Program has assessed the quality of over 250 research data sets. Unfortunately, many of the early data were so poorly documented that they could not be used for subsequent research. In addition, some projects had lost or forgotten many of the important coding decisions and were similarly not recoverable. By August 1988, the Data Resources Program had reviewed and made available 117 data sets; another 54 data sets are currently under review and most of these are expected to be released in 1988. After the NIJ Data Resources Program reviews and edits data sets, they are made available to the public through the Inter-University Consortium for Political and Social Research at the University of Michigan.

The Data Resources Program will be competed as a contract in fiscal year 1989. The Request for Proposals will be published in the *Commerce Business Daily*. For further information about this program, write to Dr. Joel H. Garner, Program Manager, or contact him at 202–724–2967.

Drug Use Forecasting Program (DUF)

The NIJ Drug Use Forecasting (DUF) Program is an innovative effort designed to measure both the levels and types of drug abuse in arrestee populations throughout the country and to track and report changes and trends in arrestee drug use over time. DUF is now being conducted in 21 cities and will be expanded during fiscal year 1989. The basic program involves voluntary, anonymous interviews and urinalysis testing of samples of arrestees on a quarterly basis in each city; analysis of all urine samples by certified laboratories; collection and analysis of all arrest, demographic, and urinalysis testing data by NIJ staff; and periodic reports of the findings. The resulting information is provided directly to the participating jurisdictions and to other Federal, State and local officials.

During fiscal year 1989, NIJ plans to increase the samples of female and juvenile arrestees and to expand the research and analysis component of the program. For further information about the DUF program, researchers or interested cities' officials may write to G. Martin Lively, Program Manager, or contact him at 202–272–6011.

Human Development and Criminal Behavior

With its initiation in February 1988, the NIJ Program on Human Development and Criminal Behavior has focused on the life cycle development of violent crime, predatory crime, and other forms of serious antisocial behavior. This program was established because of the widely shared belief that significant empirical and theoretical progress in understanding the causes, treatment and prevention of crime requires improved knowledge about the relationship between early childhood development and the subsequent development of delinquency, crime, and other antisocial behavior.

The program is jointly sponsored by the National Institute of Justice and the John D. and Catherine T. MacArthur Foundation. Additional funding is being sought from other governmental agencies and private foundations. During the program's first 2 years, its primary task is to develop further the design of prospective longitudinal cohort studies, coupled where feasible with assessments of the effects of program interventions. The study designs are expected to involve common measurement features and, by their very size and scope, require extensive collaboration between teams of researchers and local operational agencies.

Initial awards have been made by the MacArthur Foundation and the National Institute of Justice to the Castine Research Corporation. The program's Research Advisory Board is chaired by Albert J. Reiss, Jr., and includes Norval Morris, James Q. Wilson, Lloyd Ohlin, Alfred Blumstein, Lee Robins, Norman Garmezy, Felton Earls, Malcolm Klein, David Farrington, and Michael Tonry. Numerous other nationally recognized researchers are contributing to the development of criteria for the program's data collection sites, research designs, and the feasibility of including experimental tests of prevention programs. The program's design anticipates the participation of an expanding number of researchers from a variety of social science and medical disciplines.

No additional awards in this program are expected until 1990. For more information about this program, write to Dr. Joel H. Garner, Program Manager, or contact him at 202–724–2967.

National Assessment Program

The National Assessment Program supports a biennial national survey of seven professional subgroups within criminal justice to ensure that the needs and priorities of policymakers and practitioners inform the Institute's research

best copy available

agenda. Results are also published for use by the field, and surveys of state-of-the-art practice are conducted in areas of critical need identified by the survey. The program also examines promising approaches found in ongoing field operations and provides information about these programs to State and local units of government.

This program is supported through a competitively awarded, multiyear contract, which will be recompeted in fiscal year 1989. All announcements and the Request for Proposals will be published in the *Commerce Business Daily*. For further information about this program, write to Jonathan Budd, Program Manager, or contact him at 202–272–6040.

National Criminal Justice Reference Service

The National Institute of Justice founded the National Criminal Justice Reference Service (NCJRS) in 1972 to fulfill the Institute's statutory mandate to maintain a national and international clearinghouse of criminal justice information. NCJRS is designed to benefit researchers and practitioners in all aspects of Federal, State, and local criminal justice operations.

NCJRS has one of the world's largest criminal justice libraries with approximately 100,000 documents. Information about these documents can be searched and retrieved through an automated reference system available to the public either through NCJRS reference specialists or through the commercial data base vendor DIALOG. NCJRS also maintains specialized clearinghouses in juvenile justice, victim assistance, criminal justice statistics, corrections, and AIDS in criminal justice.

Over 80,000 subscribers currently receive the bimonthly *NIJ Reports* and other special mailings free of charge. In addition, many NIJ publications are available without charge; others are produced at a modest price to recover production and shipping costs.

Call NCJRS toll free at 1–800–851–3420 for technical assistance, search services, or information on how to become a subscriber. In Maryland and Metropolitan Washington, D.C., call 301–251–5500.

For more information about this program, write to Paul Estaver, Program Manager, or contact him at 202–724–2957.

Professional Conference Series

Established in 1977 to share research and development findings with State and local criminal justice executives, the Professional Conference Series (PCS) has evolved into an interrelated set of communications programs. Each year the Institute works with professional organizations and interest groups to conduct one or more national conferences. These bring together two to three hundred leading researchers and policy officials to focus on significant new research findings and operational achievements. Recent national

conferences include *Policing: State of the Art and Presiding in Criminal Court.*

Special conferences assemble small groups of experts, frequently from different professional disciplines, to examine the most appropriate research or developmental approach to a complex problem. One such recent conference on *Less Than Lethal Weapons* examined the potential of different technologies for development in this area. A special conference on *Analyzing Hair to Determine Illegal Drug Use* is planned for fiscal 1989. The PCS Program also supports training workshops for other NIJ programs, such as workshops for project staff of the DUF sites, as well as a modest HOST program, which enables interested practitioners to visit sites housing program innovations developed by the Institute.

Current PCS activity includes personal computer telecommunications and electronic bulletin boards. NIJ*NET is the electronic bulletin board of the National Institute of Justice. It can be reached at 202–724–6171 and is in operation most of the business day and at all other times. It includes a service announcing new NIJ publications, research data sets and press releases; a message center; a file directory of text and program files of general criminal justice interest; and special information on DUF and NCJRS. For further information about any of the Professional Conference Service services, contact Martin Lively at 202–272–6011 or John Thomas at 202–272–6006; or leave a message via NIJ*NET.

Research Applications Program

The Research Applications Program conducts applied research projects to develop products tailored to the needs of different criminal justice policy and practitioner audiences. Chief among them is the NIJ publication series *Issues and Practices in Criminal Justice*. These reports present the program options and management issues in a topic area, based on a review of research and evaluation findings, operational experience, and expert opinion on the subject. *Issues and Practices* reports provide criminal justice administrators and managers with the information to make informed choices in planning and improving programs and practice.

Program products are widely disseminated and serve as the basis for NIJ policy conferences; for training by the Institute and other Federal, State and local agencies; and for tests and demonstrations sponsored by the Institute and others. Topics cover all aspects of the criminal justice system and include priorities such as privatization, the impact of AIDS on the criminal justice system, child abuse, or other issues where little or no prior research related to criminal justice exists. Researchers and practitioners from a wide variety of disciplines are involved as project advisers, reviewers, and investigators in the development of these projects.

This competitively awarded, multiyear contract will be recompeted during fiscal year 1989. All announcements and the Request for Proposals will be published in

the *Commerce Business Daily*. For further information, write to Carol Petrie, Program Manager, or contact her at 202–272–6012.

Technical Assistance Program

The National Institute of Justice's Technical Assistance (TA) Program provides NIJ with technical assistance and peer review essential to social science research. Operated under contract, the TA Program maintains a consultant pool of persons recruited from universities and colleges and from operational agencies in the criminal justice system; conducts peer review of the almost 400 proposals received by NIJ annually and prepares written reviews of each one for use in grant award decisions; provides travel and logistical arrangements for each of 20 peer review panel meetings in Washington, D.C.; provides planning and design assistance for research projects; convenes workshops of researchers and practitioners; and arranges for presentations at professional meetings and conferences.

For information about how to become a consultant for the TA Program, write to Charles Q. Williams, NIJ TA Project Director, Koba Associates, Suite 200, 1156 15th Street NW., Washington, DC 20005, or call him at 202–328–5728. For information about the management of the TA Program, write to Terry M. Simpson, NIJ Budget Officer and TA Program Manager, or call him at 202–724–2953.

Technology Assessment Program

The National Institute of Justice developed the Technology Assessment Program to help criminal justice agencies make informed decisions in selecting equipment and making equipment purchases. The program develops minimum performance standards for products ranging from low-cost items such as batteries to big-ticket purchases such as state-of-the-art communications equipment. In addition, the program tests these and other commercially available products such as soft body armor, metallic handcuffs, and portable radios. Results of product testing are published and disseminated throughout the criminal justice community. Three program components carry out these tasks.

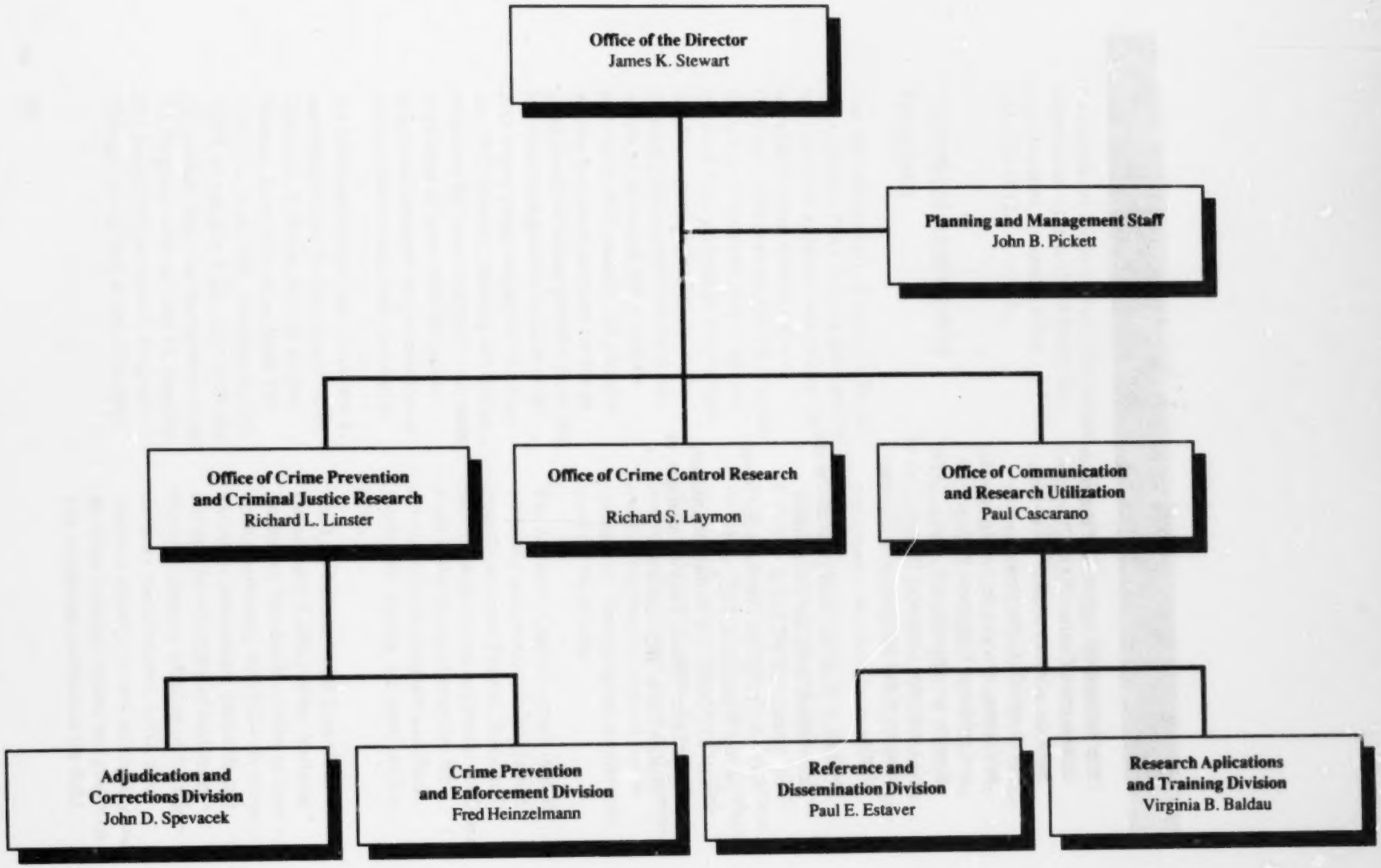
The **Advisory Council**—more than 40 nationally recognized criminal justice practitioners from Federal, State, and local agencies assess equipment needs and assist in the testing of priorities for development of equipment standards, guides, test reports, and other publications.

The **Law Enforcement Standards Laboratory (LESL) of the National Bureau of Standards**—under an interagency agreement with NIJ—develops minimum performance standards that increase the reliability of equipment through voluntary adoption of the standards by manufacturers. LESL also conducts research on new technology and develops technical reports and guides on how equipment performs in the field.

The Technology Assessment Program Information Center (TAPIC) coordinates the advisory council's activities, selects certified laboratories to test equipment, oversees the testing process, and publishes Equipment Performance Reports documenting test results. TAPIC also publishes Consumer Product Lists of equipment that complies with NIJ standards.

To obtain these and other publications and information about law enforcement equipment, call toll free at 800–24–**TAPIC** (in Maryland and Metropolitan Washington, D.C., call 301–251–5060). For further information, write Lester Shubin, Program Manager, or contact him at 202–724–6008.

Organization of the National Institute of Justice



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Geoffrey Laredo	Program Specialist	272–6005
Carol V. Petrie	Program Manager—Research Applications	272–6012
Martin G. Lively	Program Manager—Drug Use Forecasting (DUF)	272–6011
John A. Thomas	Program Manager—Professional Conference Series	272–6006

National Institute of Justice peer review participants

The research programs of the National Institute of Justice rely on peer review of proposals to assess the technical merit and policy relevance of the proposed research. The assistance of extramural peer reviewers continues to be essential to the accomplishment of the Institute's mission. The Institute wishes to acknowledge and thank the following persons who served as peer reviewers in fiscal years 1986, 1987, and 1988:

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Grant application forms

OMB Approval No. 0348-0006

FEDERAL ASSISTANCE

1. TYPE OF SUBMISSION (Mark appropriate box)
- ☐ NOTICE OF INTENT (OPTIONAL)
- ☐ PREAPPLICATION
- ☐ APPLICATION

2. APPLICANT'S APPLICATION IDENTIFIER
- a. NUMBER
- b. DATE (Year month day) 19

3. STATE APPLICATION IDENTIFIER (NOTE: TO BE ASSIGNED BY STATE)
- a. NUMBER
- b. DATE ASSIGNED (Year month day) 19

Leave Blank

SECTION I—APPLICANT/RECIPIENT DATA

4. LEGAL APPLICANT/RECIPIENT
- a. Applicant Name
- b. Organization Unit
- c. Street/P.O. Box
- d. City
- e. County
- f. State
- g. ZIP Code
- h. Contact Person (Name & Telephone No.)

5. EMPLOYER IDENTIFICATION NUMBER (EIN)

6. PROGRAM (From CFDA)
- a. NUMBER
- MULTIPLE ☐
- b. TITLE

7. TITLE OF APPLICANT'S PROJECT (Use section IV of this form to provide a summary description of the project.)

8. TYPE OF APPLICANT/RECIPIENT
A—State; B—Interstate; C—Substate Organization; D—County; E—City; F—School District; G—Special Purpose District; H—Community Action Agency; I—Higher Educational Institution; J—Indian Tribe; K—Other (Specify):
Enter appropriate letter ☐

9. AREA OF PROJECT IMPACT (Names of cities, counties, states, etc.)

10. ESTIMATED NUMBER OF PERSONS BENEFITING

11. TYPE OF ASSISTANCE
A—Basic Grant; B—Supplemental Grant; C—Loan; D—Insurance; E—Other
Enter appropriate letter(s) ☐☐

12. PROPOSED FUNDING

a. FEDERAL	$	.00
b. APPLICANT		.00
c. STATE		.00
d. LOCAL		.00
e. OTHER		.00
f. Total	$	.00

13. CONGRESSIONAL DISTRICTS OF:
- a. APPLICANT
- b. PROJECT

15. PROJECT START DATE (Year month day) 19

16. PROJECT DURATION (Months)

18. DATE DUE TO FEDERAL AGENCY ▶ (Year month day) 19

14. TYPE OF APPLICATION
A—New; B—Renewal; C—Revision; D—Continuation; E—Augmentation
Enter appropriate letter ☐

17. TYPE OF CHANGE (For 14c or 14e)
A—Increase Dollars; B—Decrease Dollars; C—Increase Duration; D—Decrease Duration; E—Cancellation; F—Other (Specify):
Enter appropriate letter(s) ☐☐☐

19. FEDERAL AGENCY TO RECEIVE REQUEST
- a. ORGANIZATIONAL UNIT (IF APPROPRIATE)
- b. ADMINISTRATIVE CONTACT (IF KNOWN)
- c. ADDRESS

20. EXISTING FEDERAL GRANT IDENTIFICATION NUMBER

21. REMARKS ADDED ☐ Yes ☐ No

SECTION II—CERTIFICATION

22. THE APPLICANT CERTIFIES THAT ▶ To the best of my knowledge and belief, data in this preapplication/application are true and correct, the document has been duly authorized by the governing body of the applicant and the applicant will comply with the attached assurances if the assistance is approved.
- a. YES, THIS NOTICE OF INTENT/PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON: DATE _____
- b. NO, PROGRAM IS NOT COVERED BY E.O. 12372 ☐ OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW ☐

23. CERTIFYING REPRESENTATIVE
- a. TYPED NAME AND TITLE
- b. SIGNATURE

24. APPLICATION RECEIVED (Year month day) 19

25. FEDERAL APPLICATION IDENTIFICATION NUMBER

26. FEDERAL GRANT IDENTIFICATION

SECTION III—FEDERAL AGENCY ACTION

27. ACTION TAKEN
- ☐ a. AWARDED
- ☐ b. REJECTED
- ☐ c. RETURNED FOR AMENDMENT
- ☐ d. RETURNED FOR E.O. 12372 SUBMISSION BY APPLICANT TO STATE
- ☐ e. DEFERRED
- ☐ f. WITHDRAWN

28. FUNDING

a. FEDERAL	$	.00
b. APPLICANT		.00
c. STATE		.00
d. LOCAL		.00
e. OTHER		.00
f. TOTAL	$	.00

29. ACTION DATE ▶ (Year month day) 19

30. STARTING DATE (Year month date) 19

31. CONTACT FOR ADDITIONAL INFORMATION (Name and telephone number)

32. ENDING DATE (Year month date) 19

33. REMARKS ADDED ☐ Yes ☐ No

GENERAL INSTRUCTIONS FOR THE SF-424

This is a standard form used by applicants as a required facesheet for preapplications and applications submitted in accordance with OMB Circular A-102. It will be used by Federal agencies to obtain applicant certification that states which have established a review and comment procedure in response to Executive Order 12372 and have selected the program to be included in their process have been given an opportunity to review the applicant's submission.

APPLICANT PROCEDURES FOR SECTION I

Applicant will complete all items in Section I with the exception of Box 3, "State Application Identifier." If an item is not applicable, write "NA." If additional space is needed, insert an asterisk "*," and use Section IV. An explanation follows for each item:

Item

1. Mark appropriate box. Preapplication and application are described in OMB Circular A-102 and Federal agency program instructions. Use of this form as a Notice of Intent is at State option. Federal agencies do not require Notices of Intent.

2a. Applicant's own control number, if desired.

2b. Date Section I is prepared (at applicant's option).

3a. Number assigned by State.

3b. Date assigned by State.

4a-4h. Legal name of applicant, name of primary organizational unit which will undertake the assistance activity, complete address of applicant, and name and telephone number of the person who can provide further information about this request.

5. Employer Identification Number (EIN) of applicant as assigned by the Internal Revenue Service.

6a. Use Catalog of Federal Domestic Assistance (CFDA) number assigned to program under which assistance is requested. If more than one program (e.g., joint funding), check "multiple" and explain in Section IV. If unknown, cite Public Law or U.S. Code.

6b. Program title from CFDA. Abbreviate if necessary.

7. Use Section IV to provide a summary description of the project. If appropriate, i.e., if project affects particular sites as, for example, construction or real property projects, attach a map showing the project location.

8. "City" includes town, township or other municipality.

9. List only largest unit or units affected, such as State, county, or city.

10. Estimated number of persons directly benefiting from project.

11. Check the type(s) of assistance requested.

A. Basic Grant—an original request for Federal funds.

B. Supplemental Grant—a request to increase a basic grant in certain cases where the eligible applicant cannot supply the required matching share of the basic Federal program (e.g., grants awarded by the Appalachian Regional Commission to provide the applicant a matching share).

E. Other. Explain in Section IV.

12. Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included. If the action is a change in dollar amount of an existing grant

Item

(a revision or augmentation under item 14), indicate only the amount of the change. For decreases, enclose the amount in parentheses. If both basic and supplemental amounts are included, breakout in Section IV. For multiple program funding, use totals and show program breakouts in Section IV. 12a—amount requested from Federal Government. 12b—amount applicant will contribute. 12c—amount from State, if applicant is not a State. 12d—amount from local government, if applicant is not a local government. 12e—amount from any other sources, explain in Section IV.

13b. The district(s) where most of action work will be accomplished. If city-wide or State-wide, covering several districts, write "city-wide" or "State-wide."

14. A. New. A submittal for project not previously funded.

B. Renewal. An extension for an additional funding/budget period for a project having no projected completion date, but for which Federal support must be renewed each year.

C. Revision. A modification to project nature or scope which may result in funding change (increase or decrease).

D. Continuation. An extension for an additional funding/budget period for a project with a projected completion date.

E. Augmentation. A requirement for additional funds for a project previously awarded funds in the same funding/budget period. Project nature and scope unchanged.

15. Approximate date project expected to begin (usually associated with estimated date of availability of funding).

16. Estimated number of months to complete project after Federal funds are available.

17. Complete only for revisions (item 14c), or augmentations (item 14e).

18. Date preapplication/application must be submitted to Federal agency in order to be eligible for funding consideration.

19. Name and address of the Federal agency to which this request is addressed. Indicate as clearly as possible the name of the office to which the application will be delivered.

20. Existing Federal grant identification number if this is not a new request and directly relates to a previous Federal action. Otherwise, write "NA."

21. Check appropriate box as to whether Section IV of form contains remarks and/or additional remarks are attached.

APPLICANT PROCEDURES FOR SECTION II

Applicants will always complete either item 22a or 22b *and* items 23a and 23b.

22a. Complete if application is subject to Executive Order 12372 (State review and comment).

22b. Check if application is not subject to E.O. 12372.

23a. Name and title of authorized representative of legal applicant.

FEDERAL AGENCY PROCEDURES FOR SECTION III

Applicant completes only Sections I and II. Section III is completed by Federal agencies.

26. Use to identify award actions.

27. Use Section IV to amplify where appropriate.

28. Amount to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions will be included. If the action is a change in dollar amount of an existing grant (a revision or augmentation under item 14), indicate only the amount of change. For decreases, enclose the amount in parentheses. If both basic and supplemental amounts are included, breakout in Section IV. For multiple program funding, use totals and show program breakouts in Section IV. 28a—amount awarded by Federal Government. 28b—amount applicant will contribute. 28c—amount from State, if applicant is not a State. 28d—amount from local government, if applicant is not a local government. 28e—amount from any other sources, explain in Section IV.

29. Date action was taken on this request.

30. Date funds will become available.

31. Name and telephone number of agency person who can provide more information regarding this assistance.

32. Date after which funds will no longer be available for obligation.

33. Check appropriate box as to whether Section IV of form contains Federal remarks and/or attachment of additional remarks.

APPROVED: OMB No. 1121-0012
EXPIRES: 11/30/89

PART II
PROJECT APPROVAL INFORMATION

Item 1.
Does this assistance request require State, local, regional, or other priority rating?

_____ Yes _____ No

Name of Governing Body _____
Priority Rating _____

Item 2.
Does this assistance request require State, or local advisory, educational or health clearances?

_____ Yes _____ No

Name of Agency or Board _____
(Attach Documentation)

Item 3.
Does this assistance request require clearinghouse review in accordance with Executive Order 12372?

_____ Yes _____ No

(Attach Comments)

Item 4.
Does this assistance request require State, local, regional or other planning approval?

_____ Yes _____ No

Name of Approving Agency _____
Date _____

Item 5.
Is the proposed project covered by an approved comprehensive plan?

_____ Yes _____ No

Check one: State ☐
Local ☐
Regional ☐
Location of Plan _____

Item 6.
Will the assistance requested serve a Federal installation?

_____ Yes _____ No

Name of Federal Installation _____
Federal Population benefiting from Project _____

Item 7.
Will the assistance requested be on Federal land or installation?

_____ Yes _____ No

Name of Federal Installation _____
Location of Federal Land _____
Percent of Project _____

Item 8.
Will the assistance requested have an impact or effect on the environment?

_____ Yes _____ No

See instructions for additional information to be provided.

Item 8.
Will the assistance requested cause the displacement of individuals, families, businesses, or farms?

_____ Yes _____ No

Number of:
Individuals _____
Families _____
Businesses _____
Farms _____

Item 10.
Is there other related assistance on this project previous, pending, or anticipated?

_____ Yes _____ No

See instructions for additional information to be provided.

Item 11.
Is the project in a designated flood area?

_____ Yes _____ No

See instructions for additional information to be provided.

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INSTRUCTIONS

PART II

Negative answers will not require an explanation unless the Federal agency requests more information at a later date. Provide supplementary date for all "Yes" answers in the space provided in accordance with the following instructions:

Item 1 — Provide the name of the governing body establishing the priority system and the priority rating assigned to this project.

Item 2 — Provide the name of the agency or board which issued the clearance and attach the documentation status or approval.

Item 3 — Attach the clearinghouse comments for the application in accordance with the instructions contained in E.O. 12372. If comments were submitted previously with a preapplication, do not submit them again but any additional comments received from the clearinghouse should be submitted with this application.

Item 4 — Furnish the name of the approving agency and the approval date.

Item 5 — Show whether the approved comprehensive plan is State, local or regional, or if none of these, explain the scope of the plan. Give the location where the approved plan is available for examination and state whether this project is in conformance with the plan.

Item 6 — Show the population residing or working on the Federal installation who will benefit from this project.

Item 7 — Show the percentage of the project work that will be conducted on federally-owned or leased land. Give the name of the Federal installation and its location.

Item 8 — Describe briefly the possible beneficial and harmful impact on the environment of the proposed project. If an adverse environmental impact is anticipated, explain what action will be taken to minimize the impact. Federal agencies will provide separate instructions if additional data is needed.

Item 9 — State the number of individuals, families, businesses, or farms this project will displace. Federal agencies will provide separate instructions if additional data is needed.

Item 10 — Show the Federal Domestic Assistance Catalog number, the program name, the type of assistance, the status and the amount of each project where there is related previous, pending or anticipated assistance. Use additional sheets, if needed.

OJP Form 4000/3 (Rev. 10-86)
Attachment to SF-424

APPROVED: OMB No. 1121-0012
EXPIRES: 11/30/89

PART III — BUDGET INFORMATION

SECTION A — BUDGET SUMMARY

Grant Program, Function or Activity (a)	Federal Catalog No. (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1.		$	$	$	$	$
2.						
3.						
4.						
5. TOTALS		$	$	$	$	$

SECTION B — BUDGET CATEGORIES

6. Object Class Categories	— Grant Program, Function or Activity				Total (5)
	(1)	(2)	(3)	(4)	
a. Personnel	$	$	$	$	$
b. Fringe Benefits					
c. Travel					
d. Equipment					
e. Supplies					
f. Contractual					
g. Construction					
h. Other					
i. Total Direct Charges					
j. Indirect Charges					
k. TOTALS	$	$	$	$	$
7. Program Income	$	$	$	$	$

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EXPIRES: 11/30/89

INSTRUCTIONS

PART III

General Instructions

This form is designed so that application can be made for funds from one or more grant programs. In preparing the budget, adhere to any existing Federal grantor agency guidelines which prescribe how and whether budgeted amounts should be separately shown for different functions or activities within the program. For some programs, grantor agencies may require budgets to be separately shown by function or activity. For other programs, grantor agencies may not require a breakdown by function or activity. Sections A, B, C, and D should include budget estimates for the whole project except when applying for assistance which requires Federal authorization in annual or other funding period increments. In the latter case, Sections A, B, C, and D should provide the budget for the first budget period (usually a year) and Section E should present the need for Federal assistance in the subsequent budget periods. All applications should contain a breakdown by the object class categories shown in Lines a-k of Section B.

Section A. Budget Summary
Lines 1-4, Columns (a) and (b).

For applications pertaining to a *single* Federal grant program (Federal Domestic Assistance Catalog number) and *not requiring* a functional or activity breakdown, enter on Line 1 under Column (a) the catalog program title and the catalog number in Column (b).

For applications pertaining to a *single* program *requiring* budget amounts by multiple functions or activities, enter the name of each activity or function on each line in Column (a), and enter the catalog number in Column (b). For applications pertaining to *multiple* programs where *none* of the programs *require* a breakdown by function or activity, enter the catalog program title on each line in Column (a) and the respective catalog number on each line in Column (b).

For applications pertaining to *multiple* programs where one or more programs *require* a breakdown by function or activity, prepare a separate sheet for each program requiring the breakdown. Additional sheets should be used when one form does not provide adequate space for all breakdown of data required. However, when more than one sheet is used, the first page should provide the summary totals by programs.

Lines 1-4, Columns (c) through (g).

For new applications, leave Columns (c) and (d) blank. For each line entry in Columns (a) and (b), enter in Columns (e), (f), and (g) the appropriate amounts of funds needed to support the project for the first funding period (usually a year).

For continuing grant program applications, submit these forms before the end of each funding period as required by the grantor agency. Enter in Columns (c) and (d) the estimated amounts of funds which will remain unobligated at the end of the grant funding period *only* if the Federal grantor agency instructions provide for this. Otherwise, leave these columns blank. Enter in columns (e) and (f) the amounts of funds needed for the upcoming period. The amount(s) in Column (g) should be the sum of amounts in Columns (e) and (f).

For supplemental grants and changes to existing grants, do not use Columns (c) and (d). Enter in Column (e) the amount of the increase or decrease of Federal funds and enter in Column (f) the amount of the increase or decrease of non-Federal funds. In Column (g) enter the new total budgeted amount (Federal and non-Federal) which includes the total previous authorized budgeted amounts plus or minus, as appropriate, the amounts shown in Columns (e) and (f). The amount(s) shown in Column (g) should *not* equal the sum of amounts in Columns (e) and (f).

Line 5 — Show the totals for all columns used.

Section B. Budget Categories

In the column headings (1) through (4), enter the titles of the same programs, functions, and activities shown on Lines 1-4, Column (a), Section A. When additional sheets were prepared for Section A, provide similar column headings on each sheet. For each program, function or activity, fill in the total requirements for funds (both Federal and non-Federal) by object class categories.

Lines 6a-h — Show the estimated amount for each direct cost budget (object class) category for each column with program, function or activity heading.

Line 6i — Show the totals of Lines 6a to 6h in each column.

Line 6j — Show the amount of indirect cost. Refer to OMB Circulars A-87, A-21 and A-122.

Line 6k — Enter the total of amounts on Lines 6i and 6j. For all applications for new grants and continuation grants the total amount in Column (5), Line 6k, should be the same as the total amount shown in Section A, Column (g), Line 5. For supplemental grants and changes to grants, the total amount of the increase or decrease as shown in Columns (1)-(4), Line 6k should be the same as the sum of the amounts in Section A, Columns (e) and (f) on Line 5. When additional sheets were prepared, the last two sentences apply only to the first page with summary totals.

Line 7 — Enter the estimated amount of income, if any, expected to be generated from this project. Do not add or subtract this amount from the total project amount. Show under the program narrative statement the nature and source of income. The estimated amount of program income may be considered by the Federal grantor agency in determining the total amount of the grant.

Section C. Source of Non-Federal Resources

Line 8-11 — Enter amounts of non-Federal resources that will be used on the grant. If in-kind contributions are included, provide a brief explanation on a separate sheet. (See Attachment F, OMB Circular A-102 or Attachment E, OMB Circular A-110, as applicable.)

Column (a) — Enter the program titles identical to Column (a), Section A. A breakdown by function or activity is not necessary.

Column (b) — Enter the amount of cash and in-kind contributions to be made by the applicant as shown in Section A. (See also Attachment F, OMB Circular A-102 or Attachment E, OMB Circular A-110, as applicable.)

Column (c) — Enter the State contribution if the applicant is *not* a State or State agency. Applicants which are a State or State agencies should leave this column blank.

Column (d) — Enter the amount of cash and in-kind contributions to be made from all other sources.

Column (e) — Enter totals of Columns (b), (c), and (d).

Line 12 — Enter the total for each of Columns (b)-(e). The amount in Column (e) should be equal to the amount on Line 5, Column (f), Section A.

Section D. Forecasted Cash Needs

Line 13 — Enter the amount of cash needed by quarter from the grantor agency during the first year.

Line 14 — Enter the amount of cash from all other sources needed by quarter during the first year.

Line 15 — Enter the totals of amounts on Lines 13 and 14.

Section E. Budget Estimates of Federal Funds Needed for Balance of the Project

Lines 16-19 — Enter in Column (a) the same grant program titles shown in Column (a), Section A. A breakdown by function or activity is not necessary. For new applications and continuing grant applications, enter in the proper columns amounts of Federal funds which will be needed to complete the program or project over the succeeding funding periods (usually in years). This Section need not be completed for amendments, changes, or supplements to funds for the current year of existing grants.

If more than four lines are needed to list the program titles submit additional schedules as necessary.

Line 20 — Enter the total for each of the Columns (b)-(e). When additional schedules are prepared for this Section, annotate accordingly and show the overall totals on this line.

APPROVED: OMB No. 1121-0012
EXPIRES: 11/30/89

OJP Form 4000/3 (Rev. 10-86)
Attachment to SF-424

SECTION C — NON-FEDERAL RESOURCES

(a) Grant Program	(b) APPLICANT	(c) STATE	(d) OTHER SOURCES	(e) TOTALS
8.	$	$	$	$
9.				
10.				
11.				
12. TOTALS	$	$	$	$

SECTION D — FORECASTED CASH NEEDS

	Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
13. Federal	$	$	$	$	$
14. Non-Federal					
15. TOTAL	$	$	$	$	$

SECTION E — BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT

(a) Grant Program	FUTURE FUNDING PERIODS (YEARS)			
	(b) FIRST	(c) SECOND	(d) THIRD	(e) FOURTH
16.	$	$	$	$
17.				
18.				
19.				
20. TOTALS	$	$	$	$

SECTION F — OTHER BUDGET INFORMATION

(Attach Additional Sheets If Necessary)

21. Direct Charges:

22. Indirect Charges:

23. Remarks:

APPROVED: OMB No. 1121-0012
EXPIRES: 11/30/89

INSTRUCTIONS

PART III
(continued)

Section F — Other Budget Information.

Line 21 — Use this space to explain amounts for individual direct object cost categories that may appear to be out of the ordinary or to explain the details as required by the Federal grantor agency.

Line 22 — Enter the type of indirect rate (provisional, pre-determined, final or fixed) that will be in effect during the funding period, the estimated amount of the base to which the rate is applied, and the total indirect expense.

Line 23 — Provide any other explanations required herein or any other comments deemed necessary.

SPECIAL INSTRUCTIONS

Applicants must provide on a separate sheet a budget narrative which will detail by budget category, the Federal and non-Federal (in-kind and cash) share. The grantee cash contribution should be identified as to its source, i.e., funds appropriated by a State or local government or donation from a private source. The narrative should relate the items budgeted to project activities and should provide a justification and explanation for the budgeted items including the criteria and data used to arrive at the estimates for each budget category.

APPROVED: OMB No. 1121-0012
EXPIRES: 11/30/89

INSTRUCTIONS

PART IV
PROGRAM NARRATIVE

Prepare the program narrative statement in accordance with the following instructions for all new grant programs. Requests for continuation or refunding and changes on an approved project should respond to item 5b only. Requests for supplemental assistance should respond to question 5c only.

1. OBJECTIVES AND NEED FOR THIS ASSISTANCE.

Pinpoint any relevant physical, economic, social, financial, institutional, or other problems requiring a solution. Demonstrate the need for assistance and state the principal and subordinate objectives of the project. Supporting documentation or other testimonies from concerned interests other than the applicant may be used. Any relevant data based on planning studies should be included or footnoted.

2. RESULTS OR BENEFITS EXPECTED.

Identify results and benefits to be derived. For example, when applying for a grant to establish a neighborhood health center provide a description of who will occupy the facility, how the facility will be used, and how the facility will benefit the general public.

3. APPROACH.

a. Outline a plan of action pertaining to the scope and detail of how the proposed work will be accomplished for each grant program, function or activity, provided in the budget. Cite factors which might accelerate or decelerate the work and your reason for taking this approach as opposed to others. Describe any unusual features of the project such as design or technological innovations, reductions in cost or time, or extraordinary social and community involvement.

b. Provide for each grant program, function or activity, quantitative monthly or quarterly projections of the accomplishments to be achieved in such terms as the number of jobs created; the number of people served; and the number of patients treated. When accomplishments cannot be quantified by activity or function, list them in chronological order to show the schedule of accomplishments and their target dates.

c. Identify the kinds of data to be collected and maintained and discuss the criteria to be used to evaluate the results and successes of the project. Explain the methodoloy that will be used to determine if the needs identified and discussed are being met and if the results and benefits identified in item 2 are being achieved.

d. List organizations, cooperators, consultants, or other key individuals who will work on the project along with a short description of the nature of their effort or contribution.

4. GEOGRAPHIC LOCATION.

Give a precise location of the project or area to be served by the proposed project. Maps or other graphic aids may be attached.

5. IF APPLICABLE, PROVIDE THE FOLLOWING INFORMATION:

a. For research or demonstration assistance requests, present a biographical sketch of the program director with the following information; name, address, phone number, background, and other qualifying experience for the project. Also, list the name, training and background for other key personnel engaged in the project.

b. Discuss accomplishments to date and list in chronological order a schedule of accomplishments, progress or milestones anticipated with the new funding request. If there have been significant changes in the project objectives, location approach, or time delays, explain and justify. For other requests for changes or amendments, explain the reason for the change(s). If the scope or objectives have changed or an extension of time is necessary, explain the circumstances and justify. If the total budget items have changed more than the prescribed limits contained in Attachment K to OMB Circular A-102 (or Attachment J to OMB Circular A-110, as applicable), explain and justify the change and its effect on the project.

c. For supplemental assistance requests, explain the reason for the request and justify the need for additional funding.

APPROVED: OMB No. 1121-0012
EXPIRES: 11/30/89

PART V

ASSURANCES

The Applicant hereby assures and certifies compliance with all Federal statutes, regulations, policies, guidelines and requirements, including OMB Circulars No. A-21, A-102, A-110, A-122, A-128, and A-87, and E.O. 12372, that govern the application, acceptance and use of Federal funds for this federally-assisted project. Also the Applicant assures and certifies that:

1. It possesses legal authority to apply for the grant; that a resolution, motion or similar action has been duly adopted or passed as an official act of the applicant's governing body, authorizing the filing of the application, including all understandings and assurances contained therein, and directing and authorizing the person identified as the official representative of the applicant to act in connection with the application and to provide such additional information as may be required.

2. It will comply with requirements of the provisions of the Uniform Relocation Assistance and Real Property Acquisitions Act of 1970 (P.L. 91-646) which provides for fair and equitable treatment of persons displaced as a result of Federal and federally assisted programs.

3. It will comply with provisions of Federal law which limit certain political activities of employees of a State or local unit of government whose principal employment is in connection with an activity financed in whole or in part by Federal grants. (5 U.S.C. 1501, et seq.)

4. It will comply with the minimum wage and maximum hours provisions of the Federal Fair Labor Standards Act if applicable.

5. It will establish safeguards to prohibit employees from using their positions for a purpose that is or gives the appearance of being motivated by a desire for private gain for themselves or others, particularly those with whom they have family, business, or other ties.

6. It will give the sponsoring agency or the Comptroller General, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the grant.

7. It will comply with all requirements imposed by the Federal sponsoring agency concerning special requirements of law, program requirements, and other administrative requirements.

8. It will insure that the facilities under its ownership, lease or supervision which shall be utilized in the accomplishment of the project are not listed on the Environmental Protection Agency's (EPA) list of Violating Facilities and that it will notify the Federal grantor agency of the receipt of any communication from the Director of the EPA Office of Federal Activities indicating that a facility to be used in the project is under consideration for listing by the EPA.

9. It will comply with the flood insurance purchase requirements of Section 102(a) of the Floor Disaster Protection Act of 1973, Public Law 93-234, 87 Stat. 975, approved December 31, 1976. Section 102(a) requires, on and after March 2, 1975, the purchase of flood insurance in communities where such insurance is available as a condition for the receipt of any Federal financial assistance for construction or acquisition purposes for use in any area that has been identified by the Secretary of the Department of Housing and Urban Development as an area having special flood hazards. The phrase "Federal financial assistance" includes any form of loan, grant, guaranty, insurance payment, rebate, subsidy, disaster assistance loan or grant, or any other form of direct or indirect Federal assistance.

10. It will assist the Federal grantor agency in its compliance with Section 106 of the National Historic Preservation Act of 1966 as amended (16 USC 470), Executive Order 11593, and the Archeological and Historical Preservation Act of 1966 (16 USC 569a-1 et seq.) by (a) consulting with the State Historic Preservation Officer on the conduct of investigations, as necessary, to identify properties listed in or eligible for inclusion in the National Register of Historic Places that are subject to adverse effects (see 36 CFR Part 800.8) by the activity, and notifying the Federal grantor agency of the existence of any such properties, and by (b) complying with all requirements established by the Federal grantor agency to avoid or mitigate adverse effects upon such properties.

11. It will comply, and assure the compliance of all its subgrantees and contractors, with the applicable provisions of Title I of the Omnibus Crime Control and Safe Streets Act of 1968, as amended, the Juvenile Justice and Delinquency Prevention Act, or the Victims of Crime Act, as appropriate; the provisions of the current edition of the Office of Justice Programs Financial and Administrative Guide for Grants, M7100.1; and all other applicable Federal laws, orders, circulars, or regulations.

12. It will comply with the provisions of 28 CFR applicable to grants and cooperative agreements including Part 18, Administrative Review Procedure; Part 20, Criminal Justice Information Systems; Part 22, Confidentiality of Identifiable Research and Statistical Information; Part 23, Criminal Intelligence Systems Operating Policies; Part 30, Intergovernmental Review of Department of Justice Programs and Activities; Part 42, Nondiscrimination/Equal Employment Opportunity Policies and Procedures; Part 61, Procedures for Implementing the National Environmental Policy Act; Part 63, Floodplain Management and Wetland Protection Procedures; and Federal laws or regulations applicable to Federal Assistance Programs.

13. It will comply, and all its contractors will comply, with the nondiscrimination requirements of the Justice Assistance Act or Victims of Crime Act (as appropriate); Title VI of the Civil Rights Act of 1964; Section 504 of the Rehabilitation Act of 1973 as amended; Title IX of the Education Amendments of 1972; the Age Discrimination Act of 1975; and the Department of Justice Non-Discrimination Regulations 28 CFR Part 42, Subparts C, D, E, and G.

14. In the event a Federal or State court or Federal or State administrative agency makes a finding of discrimination after a due process hearing on the grounds of race, color, religion, national origin or sex against a recipient of funds, the recipient will forward a copy of the finding to the Office of Civil Rights Compliance (OCRC) of the Office of Justice Programs.

15. It will provide an Equal Employment Opportunity Program if required to maintain one, where the application is for $500,000 or more.

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